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ABSTRACT

This paper presents a conceptual model to help school leaders manage change effectively. The model was developed from a literature review of theory development and model construction. Specifically, the paper identifies the major components that inhibit organizational change, and synthesizes the most salient features of these components through a model for change management. The model is based on general systems theory to explain the interrelationships among components. The major inhibitors to effective management of change include scientific management leadership, lack of manipulation of motivators, power and politics, lack of effective staff development, and bureaucratic organizational hierarchy. Of these, effective leadership is identified as the critical component to successful change management. Contingency theory, which focuses on the interaction among the leaders' personal traits, behavior, and situational factors for effective leadership, is advocated as a useful approach for managing change. Strategies that fail to consider the needs of organizational members will not be successful in managing change. Organizational development requires a continuous system of communication and feedback among members of the organization, the external environment, and leaders. (Contains 126 references.) (LMI)

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ED 383 053

A CONCEPTUAL MODEL TO ASSIST EDUCATIONAL LEADERS MANAGE CHANGE

A STUDY CONDUCTED BY

JOHN R. COCHREN

1995

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6. A contingency theory approach was identified as the mechanism for enhancing the opportunity for leaders to effectively manage change in the organization.

7. To avoid entropy in an organization, a continuous system of communication and feedback is essential between the members of the organization, the surrounding environment, and the leaders that are implementing change strategies.

8. The identified components do not work in isolation in the change implementation process, but must be interrelated if educational leaders are to effectively manage change.

ABSTRACT

The purpose of the study was to develop a conceptual model to assist educational leaders manage change. Research for the study concentrated in the realm of theory development and model building rather than hypothesis testing.

The goal of the study was to answer the following research questions:

1. Is there a need for managing change effectively?

2. Will major components that inhibit change be revealed by a review of the literature?

3. Are the most salient features of the components identified?

4. Can the major components be interrelated in a way that will assist in managing change effectively?

The following conclusions were drawn from the study:

1. Educational leaders are confronted with dissatisfaction that has resulted in part as a result of the inability of educational leaders to manage change effectively.

2. The major inhibitors of managing change effectively were identified as leadership, motivation, power and politics, staff development, and organizational structure.

3. Leadership was identified as the critical component and is essential to the effective management of change.

4. Leadership, effectively applied to the components of motivation, power and politics, staff development, and organizational structure, enhances the opportunity for the successful management of change in a formal organization.

5. Strategies that do not consider the needs of the members of the organization as well as the goals of the organization will not be successful in managing change.

INTRODUCTION

School leaders are confronted with reports of dissatisfaction. Although the reports differ with reference to the particular emphasis of their concerns, dissatisfaction is a common theme. The first of the major reform reports, A Nation at Risk: The Imperative for Educational Reform (1983), focused heavily on the quality of education in the United States. Goodlad (1984) reflected deep concerns with the negative consequences of time-structured instructional systems. Sizer (1984) emphasized the need for radical change in the schools. In addition, other reports calling for reform were issued by the National Commission on Excellence in Education, the National Governors' Association, the Carnegie Forum on Education and the Economy, and the Twentieth Century Fund. This dissatisfaction has resulted in part as a result of the inability of school leaders to manage change effectively.

Rydz (1986) described change as the state in which the future will not flow in orderly fashion from today as we have been accustomed. Change has always been with us, but it has never been as pervasive as it is now.

Managing change effectively is difficult and complex. Kanter (1983) identified a difficulty in managing change by writing:

> Change threatens to disturb the neat array of segments, and so changes are isolated in one segment and are not allowed to touch any others. In searching for the right compartment in which to isolate a problem, those operating segmentally are letting the past, the existing structure, dominate the future. The system is designed to protect against change, to protect against deviation from a predetermined central thrust, and to ensure that individuals have sufficient awe and respect for this course to maintain their role in it without question. (pp. 28-29)

The difficulty in managing change effectively in education was noted by John Dewey (1938):

> This formulation of the business of the philosophy of education does not mean that the latter should attempt to bring about a compromise between supposed schools of thought. . . . It means the necessity of the introduction of a new order of conceptions leading to new models of practice. It is for this reason that it is so difficult to develop a philosophy of education, the moment tradition and custom are departed from, someone becomes upset. It is for this reason that the conduct of schools, based upon a new order of conceptions, is so much more difficult than is the management of schools which walk in beaten paths. Hence, every movement in the direction of a new order of ideas and of activities directed by them calls out, sooner or later, for a return to what appear to be simpler and more fundamental ideas and practices of the past. (pp. 5-6)

School leaders are in a position of attempting to manage change effectively with powerful groups advocating change and powerful groups resisting change.

Hanson (1990) offered an analysis of the difficulty of change management by emphasizing that organizational change in educational systems is complex and confusing. The history of educational change bears witness to the fact that there are no easy solutions. Machiavelli (1513) wrote of the difficulty in implementing change effectively:

> It must be considered that there is nothing more difficult to carry out, nor more doubtful of success, nor more dangerous to handle, than to initiate a new order of things. For the reformer has enemies in all those who would profit by the new order, the lukewarmness arising partly from fear of their adversaries, who have the laws in their favor; and partly from the incredibility of mankind, who do not truly believe in anything new until they have had actual experience of it. Thus, it arises that on every opportunity for attacking the reformer, his opponents do so with the zeal of partisans; the others only defend him halfheartedly, so that between them he runs great danger. (p. 55)

Sizer (1984) addressed the difficulty of managing change effectively by stating that "hackles arise when recipes for changing school system structures are offered and controversy seems inevitable" (p. 218). He maintained that the issues become ideological, paralyzing our imagination. Sizer argued that it is no surprise that school people are instinctively resistant to change because schools are a traditional hierarchical bureaucracy. Suggestions for change undermine the predictable sureties that systems require. Sizer concluded that the specificities

of schooling and the seemingly endless requirements of standardized practice strangle not only learning, but also the imagination of educators and politicians.

Baldridge and Deal (1975) presented the perspective that the professionals in educational organizations contribute to the complexity and difficulty in managing change effectively. The professionals and their organizations unite to protect the privileges that they have gained and are not interested in changing the organization or the system. They suggested that the vision of organizational change devised by core professionals is too often restrictive and egocentric. Proposed changes must directly benefit the students.

The complexity of managing change effectively was further illustrated by Katz and Kahn (1966) by their inclusion of the individual's role in change management:

> The assumption has been that, since the organization is made up of individuals, we can change the organization by changing its members. This is not so much an illogical proposition as it is an over-simplification which neglects the interrelationships of people in an organizational structure and fails to point to the aspects of individual behavior which needs to be changed. The problems of change are too complex for such simplistic generalizations and require further specification. (p. 391)

Simon (1955) further emphasized the complexity of managing change effectively by clarifying the human element in planning a successful change process. He stated, "significant change in human behavior can be brought about rapidly only if the persons expected to change participate in deciding what the change should be and how it should be made" (pp. 28-29).

In all organizations there are changes to be made and individuals who need assistance in making changes. The process is difficult and resistance by organizations and individuals is common. Alfonso, Firth, and Neville (1975) categorized resistance to change into the factors of human personality, the nature of social systems, and the perceived effects of change. Zander (1961) listed six conditions that caused resistance to change:

1. The nature of the change was not made clear to the individual involved.
2. The individual perceptions of the individuals involved were not considered.
3. The individual was caught between strong forces asking them to change and equally strong prohibiting forces.
4. The individual was pressured to change, having no say in the change.
5. The change was based on personal grounds rather than impersonal grounds.
6. The change ignored established customs and norms of the group. (p. 544)

Zander suggested that resistance to change will be decreased by helping the parties to understand the need for change and to understand their feelings about it.

Miles (1964) expounded on the complexity of managing change effectively by relating resistance to change to social systems. He listed three reasons why systems tend not to change:

1. Maximum energy goes into current operation and management; the development and implementation of new programs appear to require the addition of money and staff over and beyond that required for regular programs.
2. The hierarchically arranged subsystems tend, over time, to become progressively segregated and independent from each other.
3. The larger the tenure of individuals, either administrators or those lower in the structure, the more stable the pattern of interaction that develops, and the more difficult change becomes. (p. 644)

A different perspective on the complexity of managing change effectively was advanced by Knezevich (1984). He developed the concept that resistance to change is usually associated with growth. He offered that "retrenchment is a change no less painful than accommodation to growth" (p. 113). Knezevich concluded that criticisms of educational administrators who must implement what is an economic and educational necessity may be even more severe than those relating to changing the curriculum.

The previously referenced research illustrates the proposition that managing change effectively is a complex and difficult proces . It is assumed that the ability of school leaders to

manage change effectively would be assisted by the development of a conceptual model. Goodlad (1966), in defining a conceptual system, identified the essence of the conceptual model:

> By conceptual system, I mean a carefully engineered framework designed to identify and reveal relationships among complex, related, interacting phenomena; in effect to reveal the whole where wholeness might not otherwise be thought to exist. Such a system consists of categories abstracted from the phenomenon that the system is designed to describe and classify, categories which can be readily discussed and manipulated at consistent, clearly identifiable levels of generality and which can be developed from different perspectives. . . . A conceptual system is more general than a theory, nurturing a variety of theories pertaining to parts of the system. Further, while giving rise to hypotheses (which are part and parcel of theories), it is neutral with respect to hypothesis. That is, a conceptual system suggests realms for a fruitful hypothesizing but does not itself mandate a specific hypothesis. Such a system is then, less than a theory in precision and prediction. (pp. 141-142)

Purpose of the Study

The purpose of the study was to develop a conceptual/graphic model for use by public school administrators charged with the responsibility of managing change. For the purpose of the study, the conceptual/graphic model was referred to as the model. The study provides insight into the following questions:

1. Is there a need for assistance in managing change effectively?
2. Will major components that inhibit organizational change be revealed by a review of the literature?
3. Are the most salient features of the components identified?
4. Can the major components be interrelated in a way that will assist in managing change effectively?

Therefore, the purpose of the study was to:

1. Verify a need for managing change effectively.
2. Identify major components which inhibit organizational change.

3. Identify the most salient features of the identified components.

4. Synthesize the salient features of the components by developing a model to be presented in narrative and graphic form.

Justification of the Study

School leaders are confronted with the constant challenge of managing change effectively. The development of a model to assist school leaders manage change was intended to contribute toward meeting that reality. Peters (1987) expressed the need to address the issue of managing change by stating:

> To meet the demands of the fast-changing competitive scene, we must simply learn to love change as much as we have hated it in the past. Our organizations are designed, down to the tiniest nuts and bolts and forms and procedures, for a world where tomorrow is today. [Peters continued] today, loving change, tumult, even chaos is a prerequisite for survival, let alone success. (p. 41)

The supposition that organizations of the future must address the problems of managing change effectively was articulated by Argyris (1973). He stated, "organizations will gravitate toward a state of dynamic conservatism where survival and innovation will be difficult, unrewarded, and, in some cases, not sought" (p. 7). Argyris also predicted that public and private organizations "are presently designed and managed in such a way that they will exhibit organizational entropy, that is, slow deterioration" (p. 7).

He warned organizational management of the future:

> One can predict that one of management's primary concerns in the future will be how to prevent their organizations from being torn apart by younger members who push for internal change and older members who, knowing of no visible alternative, fight hard to maintain the posture of "dynamic conservatism." (p. 8)

In order to manage change, a basic definition is needed. Miles (1964) defined change as "an undefined, primitive term that between time 1 and time 2 some noticeable alteration has

taken place in something" (p. 13). The model developed embraces the concept of noticeable alterations. More specifically, the model developed is an open system model of change. Hanson (1991) defined this system of change:

> The open system model as applied to change in organizational organizations suggests an understanding of the relationships between three bodies of theory: open system theory, contingency theory, and management-information theory. Open system theory . . . emphasizes the dependency relationship of the school and its surrounding environment. When the needs and demands of the environment shift, the output of the school (and therefore the teaching-learning process) must also change, if the school is to be an engine of development rather than a contributor to the problems of society.
>
> . . . Contingency theory, a derivative of open system theory, says that variable environmental demands require variable organizational responses. For example, as a greater number of parents want more basic education for their children, the school must be able to respond to that need. The more turbulent the environment, the more differentiated and integrated the subsystems must be in order to maintain the flexibility to respond with a diversity of output.
>
> . . . The management information system . . . link[s] the external environment needs with internal structures. In theory, changes in the needs of the environment are reported through the MIS and result in corresponding changes in the educational process. (pp. 343-344)

School leaders, specifically principals and superintendents, are identified as the individuals in educational organizations who have the primary responsibility for initiating and managing change. Lunenburg and Ornstein (1991) supported this concept when they wrote:

> . . . the school leader (principal) or school district leader (superintendent) should be the one to initiate change and provide the ingredients and processes for constructive change. (p. 412)

Carlson (1965) further explained the significance of the superintendent in the change process:

> Though it is true that a school system as a whole accepts or rejects innovation, the school superintendent is at the focal point in the decision process regarding innovation. Whether he convinces his staff or is convinced by them, the superintendent is in a position to make the final decision. (p. 11)

Brickell (1961) interpreted the importance of the role of the superintendent in change management by stressing the duties of the position:

> Instructional changes which call for significant ways of using professional talent, drawing upon instructional resources, allocating physical facilities, scheduling instructional time, or altering physical space . . . depend almost exclusively upon administrative initiative . . .
>
> (The superintendent) . . . may not be and frequently is not - the original source of interest in a new type of program, but unless he gives it his attention and actively promotes its use, it will not come into being. (pp. 22-24)

The above referenced literature indicates that effective change does not occur in educational organizations unless the school leaders initiate the process. School leaders, then, must manage the change effectively.

Knezevich (1975) emphasized the need for managing change effectively by stating that "how to build and manage a human group capable of anticipating and accepting the new emerges as an important administrative competency. Leadership, some argue, is demonstrated by the ability to make needed changes" (p. 97). He identified the challenges facing school administrators in that "the point being made is that school administrators have been faced with change before: It is the pace of change that is difficult. More new developments in shorter periods of time will be in evidence in the years ahead" (p. 98).

Jalinek (1979) wrote of the importance of research to assist in managing the change process:

> Of far greater interest from the viewpoint of innovations are levels higher still: developing programs for approaching new task areas, teaching the approaches, changing the paradigm of the organization, and developing approaches for repeated change. From one perspective, these are iterations of the "new approaches" methods but applied to innovation, rather than to the routines of the task. From another viewpoint they are the stuff of policy decisions, concerning, as they do, questions of long-range proactiveness, institutional identity and change. In an era of increasing rates of technological and social change, they are, therefore, critically important concepts. Any theory that facilitates our

thinking about them, describing them, and perhaps, making them occur more readily would be worthwhile. (p. 146)

Methodology

The purpose of the study was to develop a model to assist school leaders manage change effectively. The methodology used for this study is a form of qualitative research called developmental research. Various authors have justified the utilization of developmental research. Cronback and Suppes (1969) defined developmental research as being intended to "investigate patterns and sequences of growth or change" . . . and stated that:

> Developmental research asks . . . what are the patterns of growth, their rates, their directions, their sequences, and the interrelated factors affecting these characteristics? (p. 47)

Van Dalen (1966) offered a further clarification of developmental research and stated that:

> The hypothetical-deductive theory consists of (1) a set of definitions of critical terms, (2) a set of hypothetical statements concerning the presumptive relationships among the critical terms, and (3) a series of deduced consequences that are logically derived from the hypothetical statements. (p. 64)

Given the stated purpose of this project to develop a model to assist school leaders manage change effectively, it is appropriate to concentrate on pre-theory development in contrast to hypothesis testing. The foundation of the conceptual model is built upon concepts developed from a review of literature of theory development and model construction.

Blake and Mouton (1985) defended the use of theories and models as valuable to researchers:

> The history of society and its capacity to identify and grapple with complex and interrelated problems of the physical environment, new technologies, and community development is significantly linked with the production and use of principles, theories, and models for understanding, predicting - and, therefore managing - natural and human

environments. Approaches to diagnosis and development which rely on the use of principles, theories, and models for understanding emotional, intellectual, and operational events provide the most powerful and impactful approach to the implementation of planned change. (p. 66)

Various authors have defined theory and different perspectives have emerged. Each author perceived a somewhat different view of the role of theory and its possible effect upon school management.

Theory

Theory, as defined by Feigel (1951), incorporates a function of unifying areas:

> (A theory is) a set of assumptions from which can be derived by purely logico - mathematical procedures, a larger set of empirical laws. The theory thereby furnishes an explanation of those empirical laws and unifies the originally relatively homogeneous areas of subject matter characterized by those empirical laws. (p. 182)

Knezevich (1970) emphasized the role of guidance in a definition of theory:

> A theory is, thus, a complete system for gaining new knowledge or giving direction to research by designing and classifying experience, creating and testing hypotheses about what was experienced, applying logico-mathematical procedures, and subsequently testing empirically the conclusion reached from deductive inferences. (p. 510)

Kaplan (1964) related theory to experience:

> A theory is a way of making sense of a disturbing situation so as to allow us more effectively to bring to bear our repertoire of habits . . . to modify habits or discard them altogether . . . to engage in theorizing means not just to learn by experience but to take thought about what is there to be learned. . . . (Theorizing) requires symbolic construction which can provide various experience never actually undergone. (p. 295)

Kerlinger (1964) asserted that theory has a predictive function:

> A theory is a set of interrelated constructs, definitions, and propositions that presents a systematic view of phenomena by specifying relations among variables with the purpose of explaining and predicting behavior. (p. 11)

The authors referenced specify that theories have varying functions including unifying, providing guidance, relating to experience, and providing a predictive function.

Lunenburg and Ornstein (1991) related the use of theory to educational administration by summarizing that "to an increasing degree, educational administration is characterized by using theory to explain and predict phenomena in educational organizations" (p. 21).

Since theories have been defined as having various functions according to their intended applications, the justification of theories as a basis of research in educational administration is subject to interpretation. Haplin (1958) defended the use of theories in research by urging that they not automatically be discarded:

> Theories do not come in a standard brand; we find them in packages of different sizes and shapes, wrapped in different ways, and labeled differently. One must respect those differences and must recognize that theories like human beings that create them, follow different courses of development and grow at different rates. We must avoid rejecting a theoretical proposal simply because it still has a few rough edges. . . . The crux of the problem is that the term theory carries the burden of too many meanings. (p. 5)

Models

Although a review of the definitions of theory reveals no uniform suggestion for their utilization, their application to the development of models is relevant. Models are meant to explain the relationships between identified components.

Van Dalen (1966) postulated that models and theories, while interrelated, should not be judged by identical standards:

> Both theories and models are conceptual schemes that explain the relationships of the variables under consideration. . . . But models are analogies (this thing is like that thing), and therefore can tolerate some facts that are not in accord with the real phenomena. A theory, on the other hand, is supposed to describe the facts and relationships that exist, and any facts that are not compatible with the theory invalidate

the theory. In summary, some scholars argue that models are judged by their usefulness, and theories by their truthfulness. (pp. 65-66)

Castetter (1986) further clarified the relationship between theories and models by stating that:

> A model is viewed as a theory designed to isolate key factors in the phenomena in which we are interested, as well as to show how these elements are related to and influence each other. As such, models . . . are conceptual representatives of reality designed to translate general theory into practice. (p. 9)

Lippett (1973) defined a model in terms of its usefulness as an analytical instrument:

> A model is a symbolic representation of the various aspects of a complex event or situation, and their relationships. A model by nature is a simplification and thus may or may not include all the variables. It should include, however, all of those variables that the builder considers important. . . . The true value of a model lies in the fact that it is an abstraction of reality that can be useful for analytical purposes. (p. 2)

Other authors such as Corwin (1974, Goodlad (1966), and Gleaner and Strauss (1967) have investigated the relationship between models and theories and have directly linked them to conceptual systems and organizations. The model definitions referenced generalize to the development of a model for integrating the identified components to assist school leaders manage change more effectively.

In order to provide a model that interrelates the identified components, it is necessary to review systems theory. General systems theory first emerged in 1949 as an outgrowth of the biological sciences and was intended to integrate all of the social, biological, and physical sciences that apply to structure and process at any level. According to Royce (1972):

> The big contribution that this theory makes is it brings order out of chaos; it provides meaning where it had previously not existed. Note, however, that this orderliness cannot be provided unless the previously unrelated mass of facts has first been funnelled through the cortex of some thinking scientist . . . empiricism without conscious attempts of conceptualizing and showing logical relationships does not lead us automatically to theoretical unification. (p. 404)

Hoy and Henderson (1983) defended open systems as having adaptable and permeable boundaries which incorporate feedback systems to provide for continuous looping of information both to and from external and internal sources. They postulated that to do otherwise would lead to entropy and eventual organizational death.

Using systems thought, the model is an attempt to apply an open-systems concept for integrating the identified components and showing their relationship to managing change.

Consequently, the systems model for showing the interrelatedness of the identified components evolved through a review of the literature, a synthesis of the salient components, and deductive thought processes involving both insight and assumption. Glaser and Strauss (1967) argued that deductive reasoning and insight are vital to developmental research:

> The route sources of all significant theorizing are the sensitive insights of the observer himself. . . . They can be derived from theory or occur without theory. . . . The first corollary is that the researcher can get - and cultivate - crucial insight not only during his research (and from his research) but from his own personal experiences prior to or outside it. (251-252)

Assumptions and insights of the writer regarding the relationship of the identified components are to be an integral part of the research process. Saunders (1966) validated the use of assumptions in developmental research:

> Theoretical assumptions are based on known principles, but they are not confined to those principles. It is through the use of theoretical assumptions that we are able to speculate, to establish guides of action and to give the reasons for our actions. Theoretical assumptions enable us to explain the "why" of our actions and behavior. (p. 8)

Format

The format utilized in this study is:

1. To identify a need for assisting in managing change effectively.

2. To identify selected components that inhibit organizational change.

3. To offer insights and assumptions which explain the interrelationships of the identified components.

4. To illustrate how the identified components work together in a model to assist in managing change.

5. To summarize and make concluding statements.

It has been previously noted there are pressures on educational organizations. In addition, it has been noted that organizations must manage change effectively to maintain their existence.

This study does not treat all dimensions relevant to change management. Numerous writers in the realm of change management have identified relevant dimensions to be considered. Among these writers, Fullan (1991), Sarason (1990), Kanter (1983), and Barth (1990) have been especially insightful; however, it was the desire of this writer to focus especially on inhibitors of change. Lunenburg and Ornstein (1991) offered that precise focus and thereby reduced the study to manageable proportions.

Lunenburg and Ornstein (1991) selected seven persistent inhibitors to change. They were:

1. Interference with needs fulfillment.
2. Fear of the unknown.
3. Threats to power and influence.
4 Knowledge and skill obsolescence.
5. Organizational structure.
6. Limited resources.
7. Collective bargaining agreements. (pp. 216-218)

Limited revenues and collective bargaining agreements were eliminated by the author by virtue of choosing to focus on the human side of change management. Lunenburg and Ornstein's five remaining inhibitors were translated from phrase to topic form and were selected as the major components of the study. The five components became: (1) leadership, (2) motivation, (3) power and politics, (4) staff development, and (5) organizational structure. Research was directed toward these five components with the intent to identify the interrelationships and the manner in which they collectively impact upon managing change in educational organizations.

Cronbach and Suppes (1969) identified developmental research as an accepted research mode:

> Design decisions depend on the purposes of the study, the nature of the problem, and the alternatives appropriate for its investigation. Once the purposes have been specified, the studies should have explicit scope and direction, and attention can be focused on a delimited target area. The nature of the problem then plays the major role in determining what approaches are suitable. Design alternatives can be organized into nine functional categories based on these differing problem characteristics:
>
> 1. Historical
> 2. Descriptive
> 3. Developmental
> 4. Case or field
> 5. Correlational
> 6. Casual comparative
> 7. True experimental
> 8. Quasi-experimental
> 9. Action (p. 47)

Therefore, the model focuses on the five selected inhibitors. The model and its related components are not presented as theory nor are hypotheses developed.

Characteristics of the Model

It has been previously argued that school leaders are confronted with reports of dissatisfaction. This dissatisfaction has resulted in part as a result of the inability of school leaders to manage change effectively. It is assumed that the ability of school leaders to manage change effectively would be assisted by the development of a conceptual model.

Initial research of the components of change management revealed that many authors had written about these components. The components for this study were identified in the research of Lunenburg and Ornstein (1991) as the major inhibitors. The five components are: (1) leadership, (2) motivation, (3) power and politics, (4) staff development, and (5) organizational structure. Research was directed toward these components in order to identify the salient features of each component and to interrelate these features into a conceptual model to assist leaders manage change.

The conceptual model and its selected components are not presented as theory nor are hypotheses developed. The model and its components are presented as analogy. Specific applications are not considered within the realm of this study.

Leadership

Many authors have written in support of the relationship of effective leadership to the components of motivation, staff development, power and politics, and organizational structure. Many theories have been proposed that identify characteristics of leadership that impact upon the successful management of change.

Early organizational theorists, including Max Weber, Henri Fayol, and Frederick Taylor, developed the concepts of scientific management. Effective leadership, according to the theory of scientific management, was described as bureaucratic, authoritative, and autocratic. Leadership styles were characterized as top-down, hierarchial, and having minimal concerns for individuals or communication. Control was located at the top of the organization with clearly defined rules of conduct, carefully specified roles, and definite emphasis upon production. Thompson (1967) emphasized that in the scientific management approach to leadership, the organization's openness to its environment is limited:

> Scientific management achieves conceptual closure of the organization by assuming that the goals are known, tasks are repetitive, output of the production process disappears, and resources in uniform qualities are available. (pp. 5-6)

Scientific management has applications that are of utilization to leaders in the public schools. Transportation and business management might be examples of this application. Overall, scientific management is not a style of leadership that is most effective in assisting leaders manage change because of its essential inflexibility. Kimbrough and Nunnery (1988) criticized the scientific approach to management for the manner in which the human element was ignored:

> A third criticism relates to the place afforded people. Some critics suggested that in an effort to stress economy and efficiency, people were ignored. It has been referred

to as the "man-as-a-machine" theory. Others have suggested that, in reality, the theory is based upon untenable assumptions about the basic nature of human beings. (p. 91)

Getzels and Guba (1957) classified organizations with scientific management leadership as nomothetic or normative in nature. Nomothetic organizations have certain roles and expectations that are stressed to meet the goals of the system.

McGregor (1969) explained the role of leadership in scientific management:

> Management is responsible for organizing the elements of productive enterprise - money, materials, equipment, people - in the interests of economic ends.
>
> With respect to people, this is a process of directing their efforts, motivating them, controlling their actions, modifying their behavior to fit the needs of the organization.
>
> Without this active intervention by management, people would be passive - even resistant - to organizational needs. They must therefore be persuaded, punished, controlled - their activities must be directed. This is management's task. (p. 168)

As indicated by previous authors, the leadership style, utilized in scientific management did not adequately address human factors. The scientific era was followed by the transitional era. Kimbrough and Nunnery (1988) identified Elton Mayo as the founder of the transitional era. The major component of the transitional approach to leadership was a more humanistic approach to organizational management. In a study known as the Hawthorne Studies, Mayo attempted to scientifically determine ideal working conditions. The results of the Hawthorne Studies were unexpected in that they revealed that social attitudes had a more profound effect upon production and achievement than did non-psychological factors. Mayo concluded:

> Social and psychological factors were seen as critical in worker motivation. . . . These empirical efforts demonstrated the inadequacy of a theory of administration that was primarily an economic and mechanistic way of treating human beings. (pp. 279-280)

Roethlisberger and Dickson (1939) expounded on Mayo's work. The importance of human concerns to the success of the organization became a focus of their work:

> Adequate personnel administration . . . should fulfill two conditions: 1) management should introduce in its organization an explicit skill of diagnosing human relations, 2) by means of this skill, management should commit itself to the continuous process of studying human situations . . ., and 3) should run its human affairs in terms of what he is continually learning about its own organization. (p. 604)

Argyris (1964) extended the earlier work of Mayo and Roethlisberger and Dickson. He sharpened the idea of a basic conflict between the needs of the employee and the demands of the organization. This basic conflict was addressed by Bennis (1966) when he referred to the concept of integration:

> Integrating man's individual needs with organizational demands is not only a chronic and vexing practical problem, it turns out to be almost insurmountable conceptually. (pp. 191-192)

The previously referenced positions are in direct conflict with scientific management theories on leadership. McGregor (1969) offered the following assumptions that identified the basic task of management and provided a bridge between scientific management approaches and transitional approaches:

> Management is responsible for organizing the elements of productive enterprise - money, materials, equipment, people, - in the interest of economic ends.
>
> People are not by nature passive or resistant to organizational needs. They have become so as a result of experience in organization.
>
> The motivation, the potential for development, the capacity for assuming responsibility, the readiness to direct behavior toward organizational goals are all present in people. Management does not put them there. It is a responsibility of management to make it possible for people to recognize and develop these human characteristics for themselves. . . .
>
> The essential task of management is to arrange organizational conditions and methods of operations so that people can achieve their own goals best by directing their own efforts toward organizational objectives. (p. 154)

The continuing emphasis upon the human factor as a foundation of leadership became known as the humanistic approach. Barnard (1938) addressed the need for organizations and its leaders to confront human satisfaction as a method of increasing organizational efficiency:

> The vitality of organizations lies in the willingness of individuals to contribute forces to the cooperative system. . . . The continuance of willingness depends upon the satisfactions that are secured by individual contributors. . . . If the satisfactions do not exceed the sacrifices required, willingness disappears, and the condition is one of organization inefficiency. (p. 91)

Follett (1924) added to the vocabulary of the humanistic approach to leadership by advocating the need to build and maintain harmonious human relations in organizations. Getzels and Guba (1957) classified organizational concerns for human satisfaction as being idiographic in nature. Organizations that are idiographic in nature stress the personalities and needs of the individuals; thus, underscoring the importance of the human dimension.

The previous leadership styles identified were referred to as the scientific management approach and the humanistic or transitional approach. These theories placed management or leadership style at either one extreme or the other. Stodgill and Coons (1957) classified the scientific management approach as "initiating structure" in which emphasis was placed upon organizational goals and how to most effectively meet those goals. They classified the humanistic approach to leadership as "considerations" in which goals were met by developing trust and concern for subordinates.

Subsequent research questioned the either/or approach as previously identified and other views of leadership emerged. Getzels, Lipham, and Campbell (1968) espoused a concept of leadership referred to as transactional leadership in which a blend of the bureaucratic and humanistic styles of leadership was advocated:

> In short, we suggest that the administrator has a transactional role to perform in the organization. At one point he emphasizes the normative expectations of the organization. At another point he pays attention to the personal needs of the people in the organization. It is this capacity to mediate between organization givens and individual dispositions that characterize the skillful administrator in our view. (p. 374)

Likert (1961) identified four systems of leadership styles in organizations. System I leaders were compatible with scientific management theories in that there was little trust in subordinates. System II leaders were in the "benevolent-authoritative" mold. System III leaders were described as consultative in which there was more interaction between leaders and employees than had been called for in System I and II. Likert advocated System IV as the ideal style in which leaders demonstrated complete trust and confidence in subordinates. Communication and shared-decision making were key factors in the leadership processes in System IV. In Hanson (1991), Likert's System IV style was acknowledged as being ideal but worth the effort:

> Likert acknowledges that his system IV model is an ideal type and may be unattainable. . . . In Likert's view, anything extending beyond the confining limits of the bureaucratic system in the direction of the System IV organizational form must be considered a gain. (p. 83)

A popular approach to identifying leadership styles in organizations was identified by Blake and Mouton (1964). The managerial grid designed defined two dimensions for leaders to consider. These two areas were concern for production and concern for people. The grid portrayed five key leadership styles in which the vertical axis plots concern for people and the horizontal axis plots concern for production. Various leadership styles correspond to locations on the grid. The five leadership styles in the grid are reflected by the numbers on the grid and are summarized as follows:

1. (9,1) Task centered leadership which emphasizes only concern for production.
2. (1,9) Country club leadership which places primary emphasis on good feelings among employees at the expense of production.
3. (5,5) Middle of the road leadership which concentrates on maintaining the status quo.
4. (1,1) Impoverished leadership which does the minimum required to remain employed.

5. (9,9) Team leadership which emphasizes production but utilizes a high concern for the individuals in the organization.

Blake and Mouton (1978) believed that mutual trust, respect, and communication between leaders and employees is essential if the organization is to be competitive. Blake and Mouton advocated the team leadership style as the most effective style and recommended its implementation by organizations.

Lippett and White (1952) characterized leadership and related leadership to production in terms of quality production. They identified three types of leadership:

1. Authoritarian leadership which viewed the administration as being solely responsible for organization decisions.
2. Democratic leadership which allows for communication between subordinates and administrators when evolving organizational policy.
3. Laissez-faire leadership in which responsibility for decision making is relinquished to all employees. (p. 340-355)

The authors did not advocate a particular type of leadership but they did generalize that democratic leadership resulted in higher quality products and that authoritative leadership resulted in higher quantities of production.

Other authors wrote that one particular leadership style was not appropriate for every organizational challenge. Schutz (1977) identified the primary responsibility of leadership as the ability to ensure that the group accomplishes its goals. The leader must have the ability to perceive a problem quickly and efficiently and be willing to do whatever is necessary to satisfy the goals of the organization.

Tannebaum and Schmidt (1973) believed that effective leadership could not be isolated into one particular category, but viewed effective leadership as being on a fluctuating continuum. They interpreted manager-nonmanager relations as being in a constant state of flux, dependent

upon the interaction of the two groups and forces in the environment. They concluded that effective leaders adjusted their approach depending upon the situations that they confronted. They summarized that a successful leader:

> . . . is one who maintains a high batting average in accurately assessing the forces that determine what is most appropriate behavior at any given time should be and in actually being able to behave accordingly. (p. 10)

Turecamo (1980) added to the concept that effective leaders adapt their style depending upon the environment they encounter:

> Such managers they say, continually change their focus, their priorities, and their behavior patterns with superiors and subordinates and are constantly reevaluating their own "executive style."
>
> Rather than yield to inertia or settle into one style, a good leader will seek to determine which actions are appropriate to each situation and follow through accordingly. (p. 13)

Schein (1965) had observed that leaders must have the personal flexibility in range of skills necessary to vary their own behavior according to the needs and drives of subordinates. Merrill, according to Pascarella (1982), concluded that the ability to control the tension created in others is a more important determinant of interpersonal effectiveness or leadership than our social style. He referred to this ability as versatility.

The belief that the situation confronted determined the most appropriate leadership style evolved into the theory of situational leadership. This theory was accepted as a realistic and workable compromise between the scientific management and the transitional approach to leadership in organizations. Situational leadership theory provided a basis in which the leader of an organization could consider all of the variables involved, including internal and external forces, in making decisions that would enable the organization to achieve its goals.

Many theorists have written about the impact of situational leadership on leaders and their organizations. Fiedler (1967) developed the Contingency Model and it became one of the most widely recognized views of situational leadership. Fiedler's Contingency Model identified three components within organizations that have the greatest impact upon the leadership approach utilized. They are a) task, b) personal relations, and c) position power. Each of the components can be analyzed individually to assist the leader in determining the situation to be confronted. Fiedler (1967) defined leadership effectiveness as being determined by the situation and dependent upon the three components individually and collectively. The leadership style selected may be effective in some situations but not all. Fiedler (1967) explained:

> The Contingency Model postulates that the effectiveness of the group is contingent upon the relationship between leadership style and the degree to which the group situation enables the leader to exert influence. (p. 250)

The implication of Contingency Theory is that the organizational setting is a critical factor in the selection of the administrator for a particular position. Fiedler (1967) noted:

> If our theory is correct, then the recruitment and selection of leaders can be effective only when we can also specify the relevant components of the situation for which the leader is being recruited. . . . The organization must then be aware of the type of leadership situations into which the individual should be successfully guided, but this is basically no different than seeing that an electrical engineer does not get assigned to bookkeeping duties. (p. 152)

Leaders obviously are confronted with situations in which their individual leadership style is in conflict with the organizational environment. Fiedler suggested that leaders have three choices when they are in this particular situation. They can change the behavior of the members of the organization, change their own methods of making decisions, or change their positions.

Sergiovanni and Carver (1973), in analyzing Fiedler's Contingency Theory, postulated that the theory effectively combined the psychological and sociological approaches to the study of leadership. Leadership acts are essential to goal achievement and the situational components determine only what is the most effective leadership style at that particular time.

Hersey and Blanchard (1988) developed a different model of situational leadership. The three situational components of their interpretation of situational leadership are task structure, personal relationship, and the maturity levels of the members of the organization. The first two components of Hersey and Blanchard's model are similar to those developed by Fiedler. The maturity level of the members of the organization was identified by Hersey and Blanchard as the major factor in determining what leadership style would be the most effective in confronting a particular situation.

Lunenburg and Ornstein (1991) indicated that the key for effective leadership in Hersey and Blanchard's model is to match the situation with one of the four basic leadership styles. These styles are directing, coaching, supporting, and delegating and were clarified as:

> 1. Directing Style: This is a high-task, low relationship style and is effective when subordinates are low in motivation and ability.
> 2. Coaching Style: This is a high-task, high-relationship style and is effective when subordinates have adequate motivation but low ability.
> 3. Supporting Style: This is a low-task, high-relationship style and is effective when subordinates have adequate ability but low motivation.
> 4. Delegating Style: This is a low-task, low relationship style and is most effective when subordinates are very high in ability and motivation. (p. 153)

Although Fiedler, as well as Hersey and Blanchard, advocated that effective leadership was dependent upon the manner in which the leader adjusted to the situation presented in the organization, there is a basic difference in their proposed solution to the problem of effective leadership. Fiedler suggested that the leader is best suited to adapting to the situation, although

changing leadership style is difficult. Hersey and Blanchard concluded that the leader is capable and should select the appropriate leadership style to meet the particular situation. In either model, situational leadership theory requires in order for a leader to be effective, he/she must adapt the selected leadership style to the situation as determined by the organizational environment.

To further understand the qualities of effective leadership, leadership skills need to be analyzed. Mintzberg (1973) listed eight primary skills associated with leadership:

1. Peer skills - the ability to establish and maintain a network of contact with equals.
2. Leadership skills - the ability to deal with subordinates and all the complications that come with power, authority and dependence.
3. Conflict resolution skills - the ability to mediate conflict, to handle disturbances under psychological stress.
4. Information processing skills - the ability to build networks, extract and validate information, and disseminate information correctly.
5. Skills in unstructured decision making - the ability to find problems and solutions when alternative, information, and objectives are ambiguous.
6. Resource allocation skills - the ability to decide among alternative uses of time and other scarce organizational resources.
7. Entrepreneurial skills - the ability to take sensible risks and implement innovation.
8. Skills of introspection - the ability to understand the position of leader and his or her impact upon the organization. (p. 189-193)

The skills listed by Mintzberg are indicative of the challenges facing leaders in organizations. Kouzes and Posner (1987) analyzed leadership skills and noted five fundamental practices that enabled leaders to accomplish extraordinary things in organizations. When leaders were at their best, they:

1. Challenged the process.
2. Inspired a shared vision.
3. Enabled others to act.
4. Modeled the way.
5. Encouraged the heart. (p. 7-8)

Lear, in Bennis (1989), saw overcoming obstacles as an integral part of leadership:

> To be an effective leader, you must not only have to get the group of followers on the right path, but you must be able to convince them that whatever obstacle stands in the way ahead, whether it is a tree or a building that blocks the view, you're going to get around it. You're not going to be put off by the apparent barriers to your goal. All journeys are filled with potholes and mines, but the only way you can move beyond them is to approach them and recognize them for whatever they are. You have to see that it's only a tree, or whatever, and it's not insurmountable. Everywhere you trip is where the treasure lies. (pp. 148-149)

Bennis (1989) identified a factor of leadership that is critical to the perception of those in the organization about the leader:

> The first basic ingredient about leadership is a guiding vision. The leader has a clear idea of what he wants to do - professionally and personally - and the strength to persist in the face of setbacks, even failures. Unless you know where you are going and why, you cannot possibly get there. (pp. 39-49)

The theory of situational leadership was interpreted by Bolman and Deal (1984) and a different perspective on leadership emerged. The concept of "framing" as a process for leaders to increase their effectiveness was advocated:

> Managers in all organizations - large or small, public or private can increase their effectiveness and their freedom through the use of multiple vantage points. To be locked into a single path is likely to produce error and self-imprisonment. We believe that managers who understand their own frame - and who can adeptly rely on more than one limited perspective - are better equipped to understand and manage the complex everyday world of organizations. (pp. 4-5)

Bolman and Deal (1984) selected four frames by which leaders are to view situations that develop in organizations. The four frames and their central assumptions are:

1. Structural frame which emphasizes the importance of formal roles and relationships.
2. Human resources frame which establishes its territory because organizations are inhabited by people.
3. Political frame which views organizations as arenas of scarce resources where power and influence are constantly affecting the allocation of resources among individuals or groups.

4. Symbolic frame which abandons the assumptions of rationality that appear in each of the other frames and treats the organization as theater or carnival. (pp. 5-6)

Leaders would utilize their experience, insight, and assumptions to select the appropriate frame through which their leadership style would emerge.

Bolman and Deal (1984) summarized the challenges facing leaders in organizations:

> As in the past, the form and function of human organization will struggle to keep up, but they will lag far behind the other changes. And unless leaders (or leading managers) arise to help us close the gap, to create complex organizations to equal complex technologies, productivity and morale will sag. (p. 295)

Various theories of leadership have been presented. An analysis of the theories leads the author to conclude that various theories will be utilized for effective leadership depending upon the situation the leader is confronting. The effective leader must be able to adapt to the changing environment of organizations. The concepts presented in Contingency Theory provide the versatility that leaders are going to require to most effectively manage change in organizations. Basically, with Contingency Theory, as interpreted by Lunenburg and Ornstein (1991), effective leadership depends upon the interaction of the leader's personal traits, behavior, and factors in the leadership situation. In essence, no one factor can be attributed to effective leadership. According to Owens (1987), the effective leader has to consider five critical factors in determining the proper course of action to meet the goals of the organization. The factors to be considered are the:

1. Goals of the organization.
2. Task to be accomplished.
3. Technology available.
4. Environment present in the organization.
5. People in the organization. (pp. 31-32)

The leader in an educational organization is comparable to a commander of a fleet of ships. The commander is charged with the responsibility to see that all of the ships are coordinated to meet the goals established. The commander must consider all of the advice available and yet choose the course of action that is most appropriate for the situation present at the time. The commander can be assured that the ships will be blown off course from time to time and his responsibility is to choose the appropriate course of action to correct the situation. Many suggestions will be presented to correct the situation and the commander will have to select from all of the combinations presented an approach that is most appropriate to resolve the problem. The commander has to rely upon the knowledge and experience available to chart the correct course.

The leader in an educational organization is confronted with similar situations and must consider all of the possible combinations of solutions in order to prescribe a proper course of action. The proper course of action will emerge dependent upon the leader's knowledge and experience of the goals of the organization, task to be accomplished, technology available, internal and external environments, and the characteristics of the people in the organization.

The concept of framing as an interpretation of contingency leadership provides a practical and useful mechanism that leaders can use to adapt their leadership style to the challenges of managing change in organizations. The centrality of leadership is implied in the theory of contingency leadership and is reflected in the model developed. Bolman and Deal (1984) projected the viewpoint that would be needed by leaders of the future:

> The management approaches of the present will not stand the tests of the future; we doubt whether they have really worked in the past. . . . We see future managers as playful theorists able to see organizations through a complex prism - a basic framework that we tried to introduce. (p. 300)

Motivation

The attitude and disposition that an employee conveys on the job is a major factor in the ability of the leadership of an organization to effectively manage change within the organization. Employee morale, job satisfaction, and meeting the perceived needs of employees is a critical element in the success of an organization meeting its established goals. Lawrence and Lorsch (1967) stressed the importance of addressing the need for changing the behavior of its members to the success of the organization:

> Every organization, whether growing or not, is periodically faced with the necessity of bringing about some fundamental changes in the behavior of its members if it is to stay effective related to its changing environment. (p. 232)

Sergiovanni and Carter (1973) identified a relationship between motivation of employees and the change process:

> One's concept of self can be changed, altered, or modified if one perceives that he will gain from such change. Change comes about by adding new and broadening dimensions which expands one's image so that it is richer. By broadening the concept of self, through increased self-awareness, more and more changes are acceptable and compatible to this image. (p. 66)

Various authors have written about motivation and its effect upon organizations. Barnard (1938) stressed the importance of leaders in organizations being cognizant of the element of human satisfaction and the necessity of meeting this need:

> The vitality of organizations lies in the willingness of individuals to contribute forces to the cooperative system. . . . The continuance of willingness depends upon the satisfactions that are secured by individual contributors. . . If the satisfactions do not exceed the sacrifices required, willingness disappears, and the condition is one of organization inefficiency. (p. 92)

One of the best known theories concerned with the motivation of employees was developed by Abraham Maslow (1970). According to Maslow, human needs were classified into

five groups and could be arranged in order of importance to the individual. These needs in ascending order were physiological, safety, social, esteem, and self-actualization. In this sequence, once one need is satisfied, the next emerges and demands satisfaction until the entire hierarchy is fulfilled. Maslow detailed the needs hierarchy by explaining:

> 1. Physiological needs include the need for food, water, and shelter. Once these needs are sufficiently satisfied, other levels of needs become prominent and provide motivation for an individual's behavior. Organizations might satisfy these needs by providing a base salary and basic working conditions such as heat, air-conditioning and cafeteria services.
>
> 2. Safety needs include protection against danger, threat and deprivation, including avoidance of anxiety. Organizations can provide these needs with safe working conditions, fair rules and regulations, job security, pension and insurance plans, salary increases, and freedom to unionize.
>
> 3. Social needs include affection, affiliation, friendship and love. People who reach this third level in the hierarchy have primarily satisfied physiological and safety needs. Organizations might meet these needs by including employee-centered supervision, providing opportunities for teamwork, following group norms, and sponsoring group activities such as organized sports programs and school or district-wide picnics.
>
> 4. Esteem needs focus on self-respect and include recognition and respect from others. Fulfilling esteem needs produces feelings of self-confidence, prestige, power, and control. Organizations can satisfy this need through recognition and award programs, articles in the district newsletters, promotions and prestigious job titles (e.g., Team Leader, Director of Computer Services, or Senior Researcher).
>
> 5. Self-actualization needs focus on the attainment of one's full potential for self-development; the desire to become, "more and more what one idiosyncratically is, to become everything one is capable of becoming." Unlike other needs, self-actualization is manifested differently in different people. For example, to achieve ultimate satisfaction, a musician must create music, an artist must paint, a teacher must teach students, and an administrator must lead people. Organizations might provide self-actualization by involving employees in planning job designs, making assignments that capitalize on employee's unique skills, and relaxing structure to permit employees' personal growth and self development. (Lunenberg, 1991, pp. 90-91)

In order to increase the overall effectiveness of the organization, school leaders should be aware of the implications of Maslow's Theory in order to appropriately address the needs of

the employees. Lunenburg (1991), reporting on research that has been conducted about Maslow's Theory, proposed:

> Evidence that supports the five distinct categories is scant, but a two-level hierarchy of lower order and higher order may exist. . . . In this regard, evidence - particularly at the higher-order needs level - supports the view that unless physiological needs and safety needs are satisfied, employees will not be concerned with higher-order needs. (p. 92)

Another significant approach to the study of motivation of employees was developed by Herzberg (1959) and is referred to as the motivation - hygiene theory. Herzberg based his theory on a two-tiered structure that incorporated the two needs of people which were the basic biological and physiological needs and the unique human characteristic of achieving and experiencing psychological growth. Hanson (1991) explained the motivation - hygiene factors:

> Herzberg found that when people talked about feeling good or satisfied, they identified factors intrinsic to the job itself. Herzberg called these factors motivators and they included: achievement, recognition, the work itself, responsibility, advancement, and growth.
>
> When employees talked about being dissatisfied with the work, they typically discussed factors extrinsic to the job but related to it. These sources of dissatisfaction were called hygiene factors because they form the outer environment of work and keep things from getting too disruptive. The hygiene factors included: company policy and administration, supervision, relationship with supervisor, work conditions, salary, relationship with peers, personal life, relationship with subordinates, status, and security. (p. 225)

The implication of Herzberg's motivation - hygiene theory to the work environment is a crucial consideration for school leaders as they manage the organization. Hanson (1991) maintained that educators cannot be motivated towards higher level of productivity by improving hygiene factors, but only through the manipulation of motivators can substantial improvement be achieved.

Miskel (1973) related the motivation - hygiene theory to the management of schools:

> . . . a different conceptual framework concerning motivation, hygiene, and risk factors existed for teachers, school administrators, and industrial managers. Teachers exhibited high concern for hygiene factors with low-risk propensity; managers showed low concern for hygiene factors with high-risk propensity; and educational administrators, appearing in the middle of the continuum, were similar to teachers in their high concern for hygiene factors but resembled managers in their risk propensity.
>
> School administrators may neglect to consider that dissatisfied teachers may weaken the educational program. Basic motivational principles and techniques can help them meet teacher needs. (pp. 42-53)

A consideration for leaders that impacts upon the motivation of employees was implied in an argument developed by McGregor (1960). McGregor maintained that the leaders view of people had a direct effect upon the management practices within an organization. Theory X, as presented by McGregor, was an uncomplimentary assumption of the basic characteristics of people:

> 1. The average human being has an inherent dislike of work and will avoid it if he can.
> 2. Because of this human characteristic of dislike of work, most people must be coerced, controlled, directed, threatened with punishment to get them to put forth adequate effort toward the achievement of organizational objectives.
> 3. The average human being prefers to be directed, wishes to avoid responsibility, has relatively little ambition, wants security above all. (pp .33-34).

McGregor did not advocate Theory X as an appropriate interpretation of basic human characteristics as it did not meet the requirements to fulfill human and individual needs in the workplace. He presented a different theory which portrayed a totally divergent view of people that leaders in the modern workplace needed to consider in their efforts to motivate employees. Theory Y espoused the following assumptions about people:

> 1. The expenditure of physical and mental effort in work is as natural as play or rest.
> 2. External control and the threat of punishment are not the only means of bringing about effort towards organizational objectives. Men will exercise self-direction and self-control in the service of objectives to which he is committed.

3. Commitment to objectives is a function of the rewards associated with their achievement.

4. The average human being learns, under proper conditions, not only to accept but to seek responsibility.

5. The capacity to exercise a relatively high degree of imagination, ingenuity, and creativity in the solution of organizational problems is widely, not narrowly distributed in the population.

6. Under conditions of modern industrial life, the intellectual potentialities of the average human being are only partially utilized. (pp. 47-48)

Theory X and Theory Y as presented reflect an either-or characterization of people. In reality, not all people can be classified as having the behaviors as described all of the time. Kenezvich (1984) suggested that another theory should be added to complete McGregor's portrait of people in the workplace:

> Theory X and Theory Y may be based upon extreme assumptions about characteristic human behavior in that an individual may not always be viewed as behaving at one extreme or the other. A more realistic set of assumptions would be that not all people can be described under either Theory X or Theory Y. Even the most autocratic administrator laboring under the behavior assumptions of Theory X might have to admit, albeit grudgingly, that in the real world some personnel give evidence on occasion of a measure of reliability and internal motivation. Likewise, those who subscribe to the behavior assumptions that make up Theory Y would have to admit reluctantly that in the real world some people, during at least short periods of time, were known to display laziness or a loss of self-control. Therefore, administrative authority and control can be justified under Theory Y as well as Theory X to cope with unique personnel situations. It is frequency of use of external controls when working with people over an extended period of time that indicates whether the administrator is more likely to accept the assumptions in Theory X as opposed to those in Theory Y. Some have suggested a middle ground set of assumptions about human behavior in organizations such as a Theory M (for middle) or a Theory Z (to complete the alphabet. (p. 57)

Such a middle ground theory of the human relations aspect of motivation of people was presented by Ouchi (1981) and was referred to as Theory Z. Theory Z is a refinement and adaptation of Theory Y and the transitional concepts of human resource management into more practical terms. In advocating the Theory Z approach, Ouchi stressed that the individual is

critical to the practitioners and emphasis is placed upon trusting relationships, influence of the informal organization, implicit control mechanisms, collective decision-making, and concern for the total person.

The above referenced research indicates that the most appropriate leadership style to implement in consideration of the motivation of employees is comparable to the concepts of contingency leadership. The most effective leaders are those that analyze the individual characteristics of the employees and select the most appropriate motivational technique that meets the situation present.

Other approaches in consideration of the motivation of employees have been suggested. Locke (1986) developed a goal-setting theory that related to the motivation of employees and maintained that specific, challenging goals had a positive impact upon employee achievement in that specific, hard goals:

> 1. Are associated with higher self-efficacy (whether the goals are assigned to self-set).
> 2. Require higher performance in order for the individual to feel a sense of self-satisfaction.
> 3. Entail less ambiguity about what constitutes high or good performance.
> 4. Are typically more instrumental in bringing about valued outcomes.
> 5. Lead individuals to expend more effort.
> 6. Stimulate individuals to persist longer.
> 7. Direct attention and action better, and activate previously automated skills.
> 8. Motivate individuals to search for suitable task strategies, to plan, and to utilize strategies that have been taught. (p. 108)

In addition, Locke and Latham (1990) specified that, in general, goals have three functions that contribute to higher employee morale: a) goals mobilize energy and increase persistent effort, b) goals motivate people to develop strategies that will enable them to perform

at the required goal levels, and c) accomplishing the goals can lead to satisfaction and further motivation. (p. 86-87)

Pascarella (1982), in analyzing the concepts of Merrill, described the relationship between a leader's behavior and the production of employees. In a clarification of his "versatility" theory of motivation, Pascarella quoted Merrill as advocating:

> . . . no manager expects to get maximum production from defensive people. When a manager's behavior causes too much tension, people will concentrate on being defensive rather than on getting the job done. . . . Follow the "Platinum Rule" which means 'do for others what they would like to have done for them' in contrast to the Golden Rule that advocates treating people the way that you would like to be treated. (pp. 68-70)

The importance of establishing a vision as a technique to motivate employees was espoused by Kouzes and Posner (1987). They related the effect of a successful vision in an organization to meeting the specific needs of the employees:

> Leaders are like mediums. They act as channels of expression between the down-to-earth followers and their other worldly dreams. If a leader has a special gift, it is the ability to sense the purpose in others. So truly inspirational leadership is not really selling people some science fiction future. Rather, it is showing people how the vision can directly benefit them, how their special needs can be satisfied. (p. 113)

The consistent theme that emerges in the proceeding research is that the effective leader of an organization has to analyze the employees of the organization and select the most appropriate motivational techniques. Just as a commander of a fleet of ships has to select the most appropriate method in which to inspire the captains of the fleet, the leader of an educational organization also has to inspire the members of the organization.

The techniques selected will vary depending upon the needs and goals of the employees at a given point in time. The leader has to utilize his skills to incorporate a contingency

leadership posture in order to motivate the employees to best achieve their goals and to achieve the goals of the organization. The leader again has to consider the task to be accomplished, environment present, technology available, and the characteristics of the people involved.

The research suggests that an environment conducive to managing change effectively is enhanced in an organization in which the leader applies the appropriate techniques of motivation with the staff.

Power and Politics

The concept that educational organizations are political institutions and that effective educational leaders are those that are politically astute has been advocated by many authors. Martin (1962) interrelated the role of politics and the public school system:

> Politics may be taken to concern:
> 1. The process of governance within the schools.
> 2. The process by which the schools are controlled by and held responsible to people.
> 3. The process of decision making as it relates to other governments.
> . . . Politics, therefore, may be said to be essentially a way of looking at the public school system and its management. (pp. 53-57)

Kimbrough (1964) was more emphatic in connecting politics and educational leaders by taking the position that if any educational leader has any opinions about educational policies and takes action accordingly, public education in that school district is involved in politics. Iannacconi (1967) stated that all schools are steeped in politics.

Sandner (1990) stressed that organizations are political entities by writing:

> Organizations are political entities. They are dominated by coalitions and allow the pursuit of goals and interests by individuals and groups from within and from outside the organization. They are multipurpose tools and have an instrumental value. Individuals and groups who compete through and also in organizations for scarce revenues act politically. (pp. 42-53)

The acceptance of the reality that leaders are involved in a political process and the importance of using that process to lead the organization effectively was clarified by Kimbrough and Nunnery (1988):

> Educational administrators should avoid concentrating upon internal organizational concerns to the disregard of the powerful forces in the environment. . . Most importantly, they must learn how to obtain and use political power skillfully in developing better educational programs for students. (p. 415)

The perspective from which organizations, and therefore leaders, have viewed power has evolved with organizational theory. Schmuck and Runkel (1985) contrasted the traditional use of power with a more current application:

> Traditional theories of organization located the major sources of power at the top of the organizational hierarchy and consequently limited the power and influence of those at lower levels. Early organizational and management theorists believed that workers were motivated primarily by economic incentives and job security, that efficient organizations developed rational rules and procedures to keep subordinates under control and protect the organization from human caprice, and that participation in decision making and shared influence were incompatible with organizational effectiveness.
>
> For many organizations now, however, those traditional views are mistaken. In particular, there are school districts in which power is not located exclusively at the top, but is shared among principals, teachers, students, and even parents. (p. 232)

Lewin (1951) defined the concept of power as "a possibility of inducing forces of a certain magnitude on another person" (p.40). Hunter (1953) viewed power as the act of men going about the business of moving other men in relation to themselves or in relation to organic or inorganic things. Kimbrough (1964) summarized the manner in which power is wielded by leaders:

> Regardless of how we word our definition, the term "power" suggests the ability to affect the behavior of men in a predetermined direction. It may involve coercion, domination, command, charisma, influence, or varying combinations of measures such as these. Power may be legitimate or arbitrary, used wisely or employed capriciously. (pp. 6-7)

The long standing myth that school organizations were apolitical was analyzed by Wirt and Kirst (1989). They concluded that a basic problem had lead to schools being more overtly political:

> This recent change in style highlights an ongoing basic problem in the governance of America's schools; that is the tension between the community's need for school leadership that can lead and be trusted and the same community's desire to have its own will carried out by that leadership. (p. 10)

It is apparent that in order to be effective, leaders must be cognizant of the political power structures that influence decisions from within and from without the organization. Drucker (1980) offered advice to leaders as they confronted the political realities:

> 1. Know the participants in the political process and be known by them.
> 2. Know the points of view, the values, the priorities, and the problems of other people, especially politicians.
> 3. Anticipate the politician's needs.
> 4. Know the problems created by the impact of one's institution.
> 5. Know that the obvious to the manager is often remote to the politician.
> 6. Don't be confined to reacting, take the initiative. (p. 216)

Bennis (1966) indicated that the leader had a difficult task in integrating the conflict between the needs of the organization and the employee. Drucker (1980) also concluded that the effective leader had to be an integrator in the political process and had to take control of the process, rather than be controlled by special interest groups:

> The manager of institutions must establish himself as the representative of the common good, as the spokesman for the "general will." He can no longer depend upon the political process to be the integrating force; he himself has to become the integrator. He has to establish himself as spokesman for the interests of society in producing, in performing, in achieving. . . . He has to think through what the policy should be in the general interest and to provide social cohesion. He has to do this before there is a"problem," before he reacts to someone else's proposal, before there is an issue. And then he has to become the proponent, the educator, the advocate. (p. 218)

Leaders, in order to effectively function as integrators, have several approaches by which they can effect change in their organizations by the use of power.

Barnes (1984), reporting on the work of Grenier, identified seven of these:

> 1. The decree approach: Unilateral decisions are made by the top officials who pass rules down through the hierarchy for disciplined compliance.
> 2. The replacement approach: Individuals in key roles are replaced by others more supportive of or knowledgeable about a projected systems change.
> 3. The structural approach: Changes in the relationships of personnel through reorganization will cause organizational behavior to change.
> 4. The group decision approach: The support of group members is attained after a decision has been made by others higher up in the organization.
> 5. The data discussion approach: Organizational members are encouraged to analyze the feedback of relevant data (e.g., case materials, survey findings), which are supplied to them by the OD specialists or superordinates.
> 6. The group solving approach: The group, itself, gathers the data, on alternative solutions, and makes the final choice with the help of an outsider.
> 7. The T-Group approach: Training in sensitivity will change work patterns and improve interpersonal work relationships. (p. 333-334)

The above research suggests that the leader has options to consider as to the implementation of power in the organization and that a particular situation would allow the leader to choose the most appropriate strategic method to best meet the goals of the organization.

Leaders must be able to recognize and accommodate the formal power structures in an organization. Barnard (1938) identified another power group within organizations. He referred to it as the informal organization and described it as the informal interaction patterns which functioned without joint purposes or continuing structure. The concept that the informal organization is unstructured has been challenged by more recent research. Using data from a study in (1962), Griffiths, Clark, and Iannacconi emphasized the importance of relatively stable and structured informal organizations in every formal organization.

The importance of the leader in an educational organization considering the informal power structure in the decision making process was stressed by Kimbrough (1964):

> Perhaps the most disturbing reaction to contemporary power research would be for educators to ignore the existence of the informal power structure altogether. The educational profession can ill-afford to take an unrealistic, nonchalant attitude toward these research findings. Furthermore, the educational leader cannot endlessly speculate about how he must assume a productive role of leadership in the light of an informal arrangement of power. He should, above all, be inclined to take action, and, in all probability, he will personally suffer the unforeseen consequences. From those that take initiative in the face of known critical elements of the power structure in their school districts, the profession will gain many insights into the rightful role of the educational politician and of those that support him in his tasks. (p. 270)

The concept of systems analysis is important to the leader as the utilization of power and politics is applied to meeting the goals of the organization. Iannacconi (1967) explained that it was asserted that education was a closed system that was isolated from politics and its leaders, therefore, free from external control. Also, by controlling what comes in from the outside environment, educators could reduce change within their system. Iannacconi (1967) contrasted a closed system with an open system in that an open system is open to its environment and a closed system is not. He further explained:

> . . . exchanges take place between an open system and its environment consisting of inputs and outputs as viewed from the systems frame of reference. This is not the case with closed systems: an unchanging balance in the relationship obtained among its elements, called equilibrium, characterizes a closed system. (p. 12)

The relationship of power and politics to educational administration and the framework in which leaders view politics in education is explained by open systems theory. Griffiths (1964) summarized the open systems theory as it related to educational administration:

> 1. Open systems exchange energy and information with their environments; i,e, they have inputs and outputs.
> 2. Open systems tend to maintain themselves in steady states. A steady state is characterized by a constant ratio being maintained among the components of the

system. A burning candle is often used to illustrate one aspect of a steady state. Upon being lit a flame is small, but it grows rapidly to its normal size. It maintains this size as long as the candle and its environment exists.

3. Open systems are self-regulating. In the preceding illustration, a sudden draft will cause the flame to flicker, but with the cessation of the draft, the flame regains its normal characteristics.

4. Open systems display equifinality; i.e., identical results can be obtained from different initial conditions.

5. Open systems maintain their steady states, in part, through the dynamic interplay of subsystems operating as functional processes. This means that the various parts of the system function without persistent conflicts that can neither be resolved nor regulated.

6. Open systems can maintain their steady states through feedback processes.

7. Open systems display progressive segregation. This occurs when an open system divides into a hierarchial order of subordinate systems which gain a certain independence of each other. (pp. 116-117)

Bolman and Deal (1984) analyzed the relationship between leadership and power. They used the research of French and Raven (1959), Baldridge (1971) and Kanter (1977) to develop a list of the most significant forms of power:

1. Authority. The higher an individual's position in an authority hierarchy, the more power the individual usually has.

2. Expertise. Expertise is the power of information and knowledge. People who have important information, people who know how to do things or get things done, can use their expertise as a source of power. Sometimes the expertise may be more symbolic than real-we might not be able to assess our lawyer's competence, but we will probably not initiate a lawsuit without legal counsel.

3. Control of rewards. People who can deliver jobs, money, political support, and other valued rewards can be extremely powerful.

4. Coercive power. The union's ability to walk out, the student's ability to sit in, and the air controller's ability to slow down (so that planes stack up for miles) are all examples of coercive power in action.

5. Personal power. Individuals with charisma, political skills, verbal facility, or the capacity to articulate visions are powerful by virtue of personal characteristics, in addition to whatever other power they may have. (p. 116)

The multiple forms of power identified have significance when applied to leaders in organizations. Leaders should understand the types of power available and beware of its limitations when applied in a singular manner. Bolman and Deal (1984) advised:

> The existence of multiple forms of power means the capacity of authorities to make decisions is constrained. In practice, people who rely solely on their authority often undermine their own power - they generate resistance and are outflanked, outmaneuvered, or overrun by individuals and groups who are more versatile in the exercise of multiple forms of power. (p. 117)

Giddens (1979) interpreted power as a relationship, not as a resource, and thus the effect of power was interdependent upon the parties involved. In such a relational structure, the structures of domination are dependent as much on the actions of subordinates as on the use of power by superordinates. The concept of interdependency of power was further clarified by Burbules (1986):

> Even if one recognizes that there may be large disparities in the availability of resources between the parties, the relational notion of power ensures that subordinates have some measure of autonomy while superordinates have some measure of dependency. In this way, a relation of power binds and constrains the activities of both parties, and each party defines its purposes and range of alternatives partly in terms of the other. (p. 103)

Leaders are challenged to meet the goals of the organization by the internal and external environment. Knezevich (1984) isolated the beginning of the concern for identifying the power structure of the community and its impact on school decisions as starting in the late 1950's.

The source of community political power has been addressed by various authors. Kimbrough and Nunnery (1988) identified the sources of political power in relationship as to what people value:

> . . . wealth, charisma, knowledge, official position, control over jobs, family ties, control of credit, leadership ability, access to the mass media, high social status, leadership in informal groups, expertise, control over votes, friendship ties, and knowledge of the political system. Listing all the resources that people use to gain power is an endless task. The principle to remember is that anything people value, tangible or intangible, may be used to gain power. (p. 421)

Hunter in a study in 1953 found a more narrow location of power within a community and concluded that power was located in the province of a few influential people. Thompson (1976) analyzed Hunter's research:

> Those persons occupying important offices . . . were assumed to be those making key decisions affecting directly or indirectly the lives of most other community residents. Hunter's study of Atlanta challenged the assumed relationship between office holding and decision making at the community level. His study indicated that while institutions and formal associations played a vital role in the execution of determined policy, the formulation of policy often takes place outside these formalized groups by a relatively small group of community influentials. Hunter concluded that Atlanta (and possibly other communities) was governed by a covert ruling elite. (p. 11)

Thompson (1976) utilized a study by Dahl to contrast the findings of Hunter in that Dahl concluded that power was widely dispersed in communities:

> Using an event analysis technique that attempted to reconstruct how specific community decisions were made and to trace actions of leaders in regard to decision making, Dahl found that rather than a single group of community influentials, numerous different groups influence various decisions in the community. (p.12)

The referenced research suggests that a critical factor for the successful leader in an organization is the identification of the actual power brokers in the community. The fact that this is not a simple task was illustrated by Scott (1987):

> Thus, which collective interests are mobilized in areal fields such as communities will be greatly influenced by how those interests are affected by a given decision matter. Moreover, some interests may be sufficiently powerful that little or no visible mobilization or active participation is required for their influence to be felt by the other parties to the decision. (p.204)

The leader, in order to utilize the power structure within the community, has to correctly identify the power brokers and integrate them to achieve the goals of the organization.

The ability of a leader to utilize power as a method of expanding the capability of the people to meet the goals of the organization is an important attribute. The term empowerment

has evolved to describe this characteristic. Wellins, Byham, and Wilson (1991) defined empowerment as when power goes to employees who then experience a sense of ownership and control over their jobs. Kanter (1983) identified four principles that used strategically empowers others:

1. Give people important work to do on critical issues.
2. Give people discretion and autonomy over their tasks and resources.
3. Give visibility to others and provide recognition for their efforts.
4. Build relationships for others, connecting them with powerful people and finding them sponsors and mentors. (pp. 162-167)

The leaders ability to empower others depends in part upon the degree of power held and the concept of power held by the leader. Kouzes and Posner (1987) explained the use of empowerment by leaders:

> . . . Only leaders who feel powerful will delegate, reward talent, and build a team composed of people in their own right. Leaders can use the power that flows to them in service of others. They can give their power away to others in the same way that they acquired it themselves. (p. 175)

In order to effectively utilize the power structure and political environment to the best advantage for the organization, the leader must be provided the resources necessary. Knezevich (1984) related these resources to staff availability:

> Every administrator needs sufficient staff to complete the study of social, political, and economic factors within the community; to determine the power elite on the variety of economic, social, and political issues within the community; and to recognize the emergence of new groups which some day may be a dominant source. (p. 490)

The effective use of power in the organization is critical to the long term success of the organization. Levinson, Molinari, and Spohn (1972) indicated that negative consequences can occur when the concepts of organizational power are not properly recognized:

> An organization's right to exercise initiative, to exert power in its self-interest must be recognized by the corporate self, by those who are in the organization, and by

> those that are outside it. When there are conflicts about power, the organization may be inhibited in its actions. When power is used without concern for its effects, there will be negative consequences sooner or later. (p. 295)

The research indicates that the successful organization will have a leader that is cognizant of the power structure and political environment that exists in and around the organization. The leader should become adept at identifying and maneuvering the power structures and political entities to meet the goals of the organization. Various methods of accomplishing this task have been suggested.

The commander of ships encounters a variety of power held and enforced by individuals and within groups that is utilized to influence the direction that the commander is to choose. If a successful mission is to occur, the commander must use the power and political skills available to direct the activities of the fleet.

The educational leader faces the same challenges. The leader has to once again consider the goals of the organization and select the most appropriate method to achieve those goals. The method selected is dependent upon five variables as identified by Owens (1987). They are the goals of the organization, the type of tasks to be accomplished, the extent and nature of the technology available, the relevant stability of the environment present, and the kinds of people in the organization. The approach that will be selected is dependent upon the frame that is being viewed by the leader.

The author suggests that the contingency theory approach is the most appropriate concept to implement in analyzing and reacting to the power structure and political entities in the organization. Pfeffer (1978) articulated the contingency approach as it relates to the interests of the various groups in the organization :

> Organization structures are the resolution, at a given time, of the contending claims for control, subject to the constraint that the structures permit the organization to survive. (p. 224)

The successful leader will adjust the selected technique chosen to meet the changing political environment and power structure within the organization at a given time. The success of the organization is dependent upon the ability of the leader to recognize the change and adapt to it.

Staff Development

The relationship of effective change management and staff development has been the focus of much research. A variety of studies have been implemented to determine teacher effectiveness and the impact of leadership on that effectiveness.

Laurence (1974) concluded that staff development programs contributed to the educational climate and influenced teachers in the organization. For the purpose of this study, staff development and in-service education are used interchangeably. Laurence developed the following criteria for leaders to consider in developing staff development programs:

1. Teacher attitudes are more likely to be influenced in school-based programs rather than in college based inservice programs.
2. School-based programs in which teachers participate as helpers to each other and planners of activities tend to have greater success in accomplishing their objectives than do programs which are conducted by college or other outside personnel without the assistance of teachers.
3. School-based inservice programs that emphasize self-instruction by teachers have a strong record of effectiveness.
4. Inservice education programs that have differentiated training experiences for different teachers (that is, "individualized") are more likely to accomplish their objectives than are programs that have common activities for all participants.
5. Inservice education programs that place the teacher in active roles (constructing and generating materials, ideas, and behavior) are more likely to accomplish their objectives than are programs that place the teacher in a receptive role (accepting ideas and behavior prescriptions not of his or her own making).

6. Inservice education programs that emphasize demonstrations, supervised trials, and feedback are more likely to accomplish their goals than are programs in which the teachers are expected to store up ideas and behavior prescriptions for a future time.

7. Inservice education programs in which teachers share and provide mutual assistance to each other are more likely to accomplish their objectives than are programs in which each teacher does separate work.

8. Teachers are more likely to benefit from inservice education activities that are linked to a general effort of the school than they are from "single-shot" programs that are not a part of a general staff development plan.

9. Teachers are more likely to benefit from inservice programs in which they can choose goals and activities for themselves, as contrasted with programs in which the goals and activities are pre-planned. (pp. 14-15)

A benefit of inservice education is the effect upon communication and self-perception. Drexler (1980) reported that participative management is effective when all team participants utilize the benefits of a training seminar. Positive effects may be observable through increases in communication and changes in self-perception of the supervisors. (p. 828)

Several factors were identified by Joyce and Showers (1987) that influenced the effectiveness of staff development programs:

> A meta-analysis of nearly 200 research studies, plus a review of the literature on staff development, shows that:
>
> 1. What the teacher thinks about teaching determines what the teacher does when teaching. In training teachers, therefore, we must provide more than "going through the motions" of teaching.
> 2. Almost all teachers can take useful information back to their classrooms when training includes four parts: (1) presentation of theory, (2) demonstration of the new strategy, (3) initial practice in the workshop, and (4) prompt feedback from their efforts.
> 3. Teachers are likely to keep and use new strategies and concepts if they receive coaching (either expert or peer) while they are trying the new ideas in their classrooms.
> 4. Competent teachers with high self-esteem usually benefit more from training than their less competent colleagues.
> 5. Flexibility in thinking helps teachers learn new skills and incorporate them into their repertoires of tried and true methods.
> 6. Individual teaching styles and value orientations do not often affect teachers' abilities to learn from staff development.

7. A basic level of knowledge or skill in a new approach is necessary before teachers can "buy in" to it.

8. Initial enthusiasm for training is reassuring to the organizers but has relatively little influence upon learning.

9. It doesn't seem to matter where or when training is held, and it doesn't really matter what the role of the trainer is (administrator, teacher, or professor). What does matter is the training design.

10. Similarly, the effects of training do not depend on whether teachers organize and direct the program, although social cohesion and shared understandings do facilitate teachers' willingness to try out new ideas. (p. 78).

Sergiovanni and Carver (1973) formulated three goals for inservice programs. The three goals are (1) providing information which helps educators keep abreast of current developments; (2) providing opportunities for the improvement of professional skills; and, (3) changing attitudes, behaviors, and motives of educational workers. They concluded that the last goal - the one that they believed to be the most important - received the least amount of support from educators. (p. 120)

A different perspective on the goals of staff development was presented by Joyce (1981). The primary task of staff development according to Joyce is threefold: to enrich the lives of educators, to generate uninterrupted efforts to improve schools, and to create conditions that enable continuous skill development. (p. 118)

Leaders of educational organizations are confronted with realities that affect the quality of staff development. Unruh and Unruh (1984) utilized the studies of Joyce to outline these realities:

Privatism: Most teachers are isolated from one another. Few teachers have opportunities to observe other teachers at work and have little idea of what is done well and what is done poorly.

Cynicism: It seems to be in vogue for teachers to view inservice offerings as not very helpful. Thus, well-planned and effective staff development programs must struggle against this preconception. Also, teachers are often negatively critical of the training

leader. University professors, local supervisors, and building administrators must establish credibility-often against strong odds.

Lack of experience with powerful training options: Many educators have never experienced really effective and powerful training. To learn new teaching strategies, teachers need to study theory, see demonstrations, have opportunities to practice with analytic feedback, and receive coaching on site. Trainers need professional expertise that combines all of these elements.

Developing problem-solving modalities: A social climate is needed in which faculties can work comfortably together in attacking problems. The reality of privatism works against this factor, but it is quite possible to overcome and establish an energetic commitment to cooperative problem solving.

Initial training: There are several gaps between preservice and inservice training. In the first place, the preservice training period is extremely short considering the immensity of the task to be done. Frequently the theory learned in the university does not match the practice that the new teacher sees in the schools. Very few teachers are familiar with alternatives styles of teaching and how to use them.

Pressures toward normative teaching: Once the teacher arrives at the teaching post, pressures toward the recitation style dominate. Trying alternatives is risky in several ways. Students may question a new technique and show a lack of cooperation; other teachers and community members may be suspicious of the performance and see it as ineffective by their standards; and the initiating teacher may be uncomfortable with an uncommon methodology. A social climate that encourages risk taking and provides protection for the teacher to experiment is necessary if there is to be progress beyond the normative mode.

Self-concept: Unless teachers have reached a state of self-actualization and have acquired substantial competencies, the realities of the classroom, described above, will inhibit professional growth. (pp. 242-243)

Wood and Neill (1978) conducted a study involving adult learners in which they concluded that staff development processes in schools supported two basic factors. One of the factors was that adult learners function better at the concrete level than at the abstract level. The second factor was that adult learners generally prefer to learn in less formal environments which permit greater interaction with other group members.

The position that adult learning characteristics have to be understood and utilized in order for leaders to develop effective staff development programs was articulated by Wood and Thompson (1980). They recommended the following:

1. Adults will commit to learning something when the goals and objectives of the inservice are considered realistic and important to the learner, that is, job related and perceived as being immediately useful.

2. Adults will learn, retain, and use what they perceive as relevant to their personal and professional needs.

3. Adult learners need to see the results of their efforts and have accurate feedback about progress toward their goals.

4. Adult learning is ego-involved. Learning a new skill, technique, or concept may promote a positive or negative view of self. There is always fear of external judgement that we adults are less than adequate, which produces anxiety during new learning situations such as those presented in inservice education.

5. Adults come to any learning experience (inservice) with a wide range of previous experiences, knowledge, skills, self-direction, interests, and competence. Individualization, therefore, is appropriate for adults as well as children.

6. Adults want to be the origin of their own learning; that is, involved in the selection of objectives, content, activities, and assessment in inservice education.

7. Adults will resist learning situations which they believe are an attack on their competence, thus, the resistance to imposed inservice topics and activities.

8. Closely related, adults reject prescriptions by others for their learning, especially when what is prescribed is viewed as an attack on what they are presently doing.

9. Adult motivation for learning and doing one's job has two levels. One is to participate and do an adequate job. The second level is to become deeply involved, going beyond the minimum or norm. The first level of motivation comes as the result of good salary, fringe benefits, and fair treatment. The second builds on the first, but comes from recognition, achievement, and increased responsibility--the result of our behavior.

10. Motivation is produced by the learner; all one can do is encourage and create conditions which will nurture what already exists in the adult.

11. Adult learning is enhanced by behaviors and inservice that demonstrate respect, trust, and concern for the learner. (Wood and Thompson, (1980)

The unique individual characteristics of the staff that receives the inservice program impacts upon the success of the program. Joyce and Showers (1980) identified the above and other variables as having a direct effect on the success of the program. These variables are the site of the training, time of the training, role assignments of the trainers, receptiveness of the staff, and the personal characteristics of the staff.

The component of the motivation of the staff member and its relationship to the success of the staff development program is an important consideration for the educational leader. The effects of personal staff motivation upon staff development programs were addressed by Joyce, Peck, and Brown (1981) and the following suggestions were offered:

> Personal motivation to grow does affect response to training, although it does not suffice for adequately designed training.
>
> Despite gaps in the knowledge base and the remarkably low incidence of studies investigating the variables in which practitioners have an investment, we think it is a safe bet to:
>
> 1. Involve teachers in all aspects of governance.
> 2. Expect differential responses to any training option but have confidence in carefully selected substance and carefully designed training.
> 3. Build strong organization context to support training.
> 4. Assume that role designation has little to do with competence as a trainer.
> 5. Worry little about where training is held or when, as long as all personnel are involved in the selection of times and places. (p. 18)

Fullan (1982) provided general guidelines for leaders to consider in their efforts to develop effective staff development programs:

> 1. Professional development should focus on job-or program related tasks faced by teachers.
> 2. Professional development programs should include the general components found by Joyce and Showers (1981) to be necessary for change in practice: theory, demonstration, practice, feedback, and application with coaching.
> 3. Follow-through is crucial. A series of several sessions, with intervals between in which people have the chance to try things (with some access to help or other resources), is much more powerful than even the most stimulating one-shot workshop.
> 4. A variety of formal and informal elements should be coordinated: training workshops and sharing workshops, teacher-teacher interaction, one-to-one assistance, meetings. Note that both teachers and others (principals, consultants, etc.) are significant resources at both the informal sharing or one-to-one level and the formal level of workshops or courses.
> 5. It is essential to recognize the relationship between professional development and implementation of change. It is in this recognition that the continuous nature of professional development can be understood, and that the link between professional development and change in practice (and all the things that interfere with that link) can be most readily identified and addressed. (pp. 286-287)

Leadership has been identified as being a critical factor in the evolvement of effective staff development programs. Many research efforts have addressed this relationship. Fiedler (1973) emphasized that it was the function of effective leadership to direct all of the activities of the school organization. He related the role of the school principal to staff improvement and stated that the role of the principal:

> . . . consists of (ensuring that) all activities and efforts of the school are recognized by the school as contributing to the personal and professional growth of individual employees so that they may perform better and with greater satisfaction. (p. 41)

The significance of leadership and the effect of that leadership upon the improvement of school organizations was stressed by Halperin (1981):

> Educational leaders are needed who can accommodate greater diversity, plan educational goals and standards in the face of uncertainties regarding available economic resources and society's shifting values and expectations for the schools. Another challenge associated with rapid changes in technologies and tasks is to bring about the self-renewal of an aging workforce in the schools; to create ways to help people gain new insights, skills, and knowledge. (pp. 75-84)

Joyce and Showers (1987) related the importance of leadership to staff development:

> Whether relatively simple teaching skills or complex curricular or instructional models are the object of training, the same components appear to increase knowledge, skills, and the probability of transfer. Not insignificantly, the study of attitudes toward training indicates that the greater the increase of knowledge, skill, and transfer, the more positive are teacher attitudes toward the training. Stronger training, combined with involvement-oriented governance and the positive effects of active organizational leadership, can lay the basis for some very effective staff development programs. (p. 87)

Effective staff development programs are critical to the process of change in education. Goodlad (1979) stressed this concept by comparing education to industry:

> And it should go without saying that the school district, as employer, has sufficient stake in this professional growth to provide staff development programs geared to the demands and needs of classroom teaching-not to the pet projects of administrators or school board members. Schooling is the largest (and most important) business in the

country that does not provide for the continued growth of its personnel on "company" time at "company" cost. (p. 92)

Finally, Fullan (1982) emphasized the interrelationship between staff development, effective change processes, and leadership in the schools:

> Establishing better professional development programs is not only a means to change but also an innovation itself, because it involves attempting to implement new approaches to initial preparation and continuing education of teachers, administrators, and other specialists. If we are interested in a theory of "changing" - in identifying those factors made possible to alter, and most instrumental in bringing about change at the level of practice - professional development would be at the very top of the list. Increasing the resources for and emphasis on staff development, establishing more effective programs, and integrating continual professional development into the regular work of school personnel are goals to which all educational agencies should be committed; for sustained improvements in schools will not occur without changes in the quality of learning experiences on the part of those who run the schools. (p. 287)

The importance of applying effective leadership techniques to implement successful staff development programs is the consistent theme of the preceding research. Staff development or inservice education was identified as a critical component in the overall process of professional growth. Goodlad (1979) concluded that the meaningful improvement of schools is directly related to sharing ideas, staff development, and mutual support.

The research also indicates that the staff affected by staff development programs has to perceive that the leadership implementing the staff development programs is effective. Staff involvement in the overall planning and delivering of the programs was also identified as a key factor in the effectiveness of the staff development programs.

The leadership style selected by the leader of the organization to implement the most effective staff development program is contingent upon the basic characteristics of the organization. The effective leader will develop and modify the staff development program based upon those characteristics as selected by Owens (1987). These characteristics are the goals of

the organization, tasks to be accomplished, technology required, environment present, and the kinds of people found in the organization.

The importance of the leader synchronizing the staff development program to the goals of the organization was expressed by Leavitt (1986:

> . . . if the training courses teach people to think more divergently and to champion their ideas, while the company goes right on demanding convergent thinking and passive obedience, the results, of course, will be counterproductive. (p. 158)

The impact of staff development programs on the ability of the leader to manage change effectively was suggested by the research. The above concept was reiterated by Goodlad (1979) when he wrote that the superintendent of healthy schools recognizes the school as the key unit for change and improvement and encourages the principals to be captains of their ships and present plans that project several years into the future. (p. 87).

Organizational Structure

It was intended that the change management model proposed in this study be applied to the public school system. The selection of alternatives and the identification of the proposed solution to a problem by the leader of the organization is influenced by the existing structure of the organization. Sarason (1971) suggested that existing structures of a setting or culture defines the possible ways in which goals and problems will be approached.

The organizational structure of schools has been classified as a formal organization. Blau and Scott (1962) stated, "Since the distinctive characteristic of these organizations is that they have been formed for the explicit purpose of achieving certain goals, the term 'formal organization' has been used to designate them" (p. 43). The common perception that schools are formal organizations was clarified by Hanson (1991):

> . . . if you ask almost anyone today, how some system is organized and administered, the response probably will be in terms of the aspects of formal organization: hierarchy, goals, job descriptions, lines of authority, and the like. . . . The process of bureaucratization involves the formalization, standardization, and rationalization of rules and roles around the mission of the schools. During this century, American schools have undergone a dramatic process of bureaucratization. (p. 28)

In order for the leader of the organization to select the most effective method to enhance the effective management of change in the organization, a knowledge of formal organizations is suggested. Owen (1987 classified formal organizations as having two major theoretic orientations. They are the bureaucratic orientation and the human resources orientation. The bureaucratic orientation theory emphasizes five mechanisms in dealing with issues of controlling and coordinating the behavior of people in the organization:

> 1. Maintain firm hierarchial control of authority of those in the lower rank.
> 2. Establish and maintain adequate vertical communications.
> 3. Develop clear written rules and procedures to set standards and guide actions.
> 4. Promulgate clear plans and schedules for participants to follow.
> 5. Add supervisory and administrative positions in the hierarchy of the organization as necessary to meet problems that arise from changing conditions confronted by the organization. (pp. 39-40)

The human resources theory emphasizes the conscious thinking of individual persons as they relate to their roles in the organization. Owen (1987) illustrated the difference between the bureaucratic theory approach and the human resources theory approach:

> . . . human resources management emphasizes the conscious thinking of individual persons about what they are doing as a means of involving their commitment, their abilities, and their energies in achieving the goals for which the organization stands. The central mechanism through which the organization exercises coordination and control is the socialization of the participants to the values and goals of the organization. Through this intense socialization the participant identifies personally with the values and purposes of the organization and is motivated to see the organization's goals and needs as being closely congruent with his or her own. (p. 44)

Of the two theoretic orientations presented, the bureaucratic approach is not the suggested style for the leader to implement in the organizational structure in order to enhance the possibility of managing change effectively. Abbott (1969) argued that organizational hierarchy can deter the process of change because of the number of people that can veto the change idea as it works its way through the structure of the organization. Lunenburg (1991) stated that the legitimate need for structure can be dysfunctional to the organization and can serve as a major resistance to change. The case against the bureaucratic approach as it impacts upon organizations contemplating change was adamantly presented by Doyle and Hartle (1985):

> It simply doesn't work that way. The impulse to reform the schools from the top down is understandable: it is consistent with the history of management science. The explicit model for such reform was the factory; Frederick Taylor's scientific management revolution did for the schools the same thing that it did for business and industry--created an environment whose principal characteristics were pyramidal organization. (p. 24)

The support of the human resources management theory as an effective method of influencing organizational structure has been advocated by much research. Argyris (1964) suggested that the restraining effects of the bureaucratic organizational structure could be alleviated by less rigid rules and operating procedures, greater delegation of authority, more participation and decision making and a more fluid structure throughout the organization.

Lunenburg (1991), as a result of analyzing Theory X and Theory Y assumptions as developed by McGregor, advocated the human resources theory approach:

> Theory Y does not concentrate on organizational structure as much as it argues for a general management philosophy that would force reconsideration of structural dimensions. Job enrichment would replace highly specialized jobs and departments. Span of control would be wide, not narrow, in order to provide greater freedom and opportunities for growth and fulfillment of employee's needs. Emphasis upon hierarchy would be replaced by emphasis on decentralization and delegation of decisions. Formal rational authority would give way to "empowerment" of subordinates. (p. 32)

Another perspective on the significance of the human relations theory was presented by Herzberg (1987). He believes that the challenge to organizations is to emphasize motivation factors while insuring that the hygiene factors are present. Job enrichment focuses on achieving organizational change by making jobs more meaningful, interesting and challenging.

Likert, in research conducted over a period of thirty years in schools as well as in industrial organizations, related the effectiveness of organizations to the management style that was utilized. His efforts were directed to encourage managers to create an organizational structure in which a healthy, creative, and productive work environment would exist. Likert (1973) identified the management styles as Systems 1, 2, 3, and 4:

> The range of management styles begins with System 1 which is a punitive authoritarian model and extends to System 4, a participative or group interaction model. In between is System 2, a paternalistic authoritarian style that emphasizes person-to-person supervision in a competitive or isolative environment, and System 3, which is a person-to-person consultative pattern of operation. (p. 3)

Likert's research indicated that leaders that utilized System 4 concepts in their approach to the leadership of their organization developed more effective schools. According to Likert (1967), System 4 has three key elements; the manager's use of the principle of supportive relationships, the use of group decision making in an overlapping group structure, and the manager's high performance goals for the organization.

Likert's management system is presented in more detailed form and indicates the differences in the bureaucratic theory characteristics illustrated in System 1 as contrasted with the human resources management theory as depicted in System 4. Owens (1987) elaborated:

System 1 Management is seen as having no trust in subordinates.

a. Decision imposed-made at the top.
b. Subordinates motivated by fear, threats, punishment.

c. Control centered on top management.
d. Little superior-subordinate interaction.
e. People informally opposed to goal by management.

System 2 Management has condescending confidence and trust in subordinates.

a. Subordinate seldom involved in decision making.
b. Rewards and punishment used to motivate.
c. Interaction used with condescension.
d. Fear and caution displayed by subordinates.
e. Control centered on top management but some delegation.

System 3 Management seen as having substantial but not complete trust in subordinates.

a. Subordinates make specific decisions at lower levels.
b. Communication flows up and down hierarchy.
c. Rewards, occasional punishment, and some involvement are used to motivate.
d. Moderate interaction and fair trust exist.
e. Control is delegated downward.

System 4 Management is seen as having complete trust and confidence in subordinates.

a. Decision making is widely dispersed.
b. Communication flows up and down and laterally.
c. Motivation is by participation and rewards.
d. Extensive, friendly, superior-subordinate interaction exists.
e. High degree of confidence and trust exists.
f. Widespread responsibility for the control process exists. (p. 49)

Leaders in organizations should note the similarities in human relations management theory and System 4 characteristics as developed by Likert as they implement their organizational structure.

Deal (1990) provides another perspective on organizational structures and contends that the movement towards participatory management styles does not go far enough. He focuses on the culture of the organization which he defines as "the shared values, rituals, and symbols" of the organization. Deal (1990 maintained:

> Previous efforts to improve schools have concentrated on correcting visible structural flaws such as the organizational hierarchy, centralization/decentralization, or

> decision-making authority. Such changes overlook more durable cultural values and mindscapes that underlie everyday behavior. These deeper patterns provide meaning and continuity. . . . contends that symbolic structures and patterns cannot be reformed; they must be transformed. To transform an organization is to change its basic character. (pp. 6-12)

A formal organization also consists of a separate feature known as the informal organization. The informal organization, as defined by Simon (1957), is the aggregate of interpersonal relationships in the organization that affect decisions within it but either are omitted from the formal scheme or are not consistent with that scheme.

The characteristics of the informal organization were listed as the following by Morphet, Johns, and Reller (1974):

> 1. Each member of the group is able to interact with every other member of the group.
> 2. The group develops its own structure and organization.
> 3. The group selects its own leader or leaders.
> 4. The group has been voluntarily formed to achieve certain common tasks, goals and purposes.
> 5. It does not have an officially prescribed hierarchial structure. (p. 134)

Barnard (1938) stressed the crucial importance of understanding the relationship between the formal organization and the informal organization. He made it clear that it was illusory to focus exclusively on the formal organization and that the effective leader must attend to the needs and aspirations of the workers as well as the needs and goals of the organization.

Owens (1987) summarized the contributions of the work of Roethlisberger and Dickson (1939) and their view of the mutual interaction between the formal and informal organization:

> Based upon evidence gathered from the Western Electric Company research, the authors described and documented, for example, the surprising sophistication of the informal organization and its power to exercise control not only over the behavior of workers but also (without their realizing it) over the behavior of supervisors and managers who thought they were exercising the control. (p. 17)

The influence of the informal organization and its effect upon the various functions of the organization, including the quality and quantity of output was explained by Kimbrough and Nunnery (1988):

> The informal organization serves to ratify or legitimize authority of superiors, provides a source of companionship, and sense of belonging, helps protect the membership from external pressures, is a major source of assistance for individuals in job-related problem solving, and sets guides of acceptable behavior, including quality and quantity of output. (p. 287)

The insight of the leader of the organization and the ability of the leader to recognize and utilize the informal structure in a positive manner is important to the success of the organization and to the successful implementation of any planned change: Knezevich (1984) advised leaders of organizations of the influence of informal groups and their potential impact on the organization as well as the potential effect on the leader of the organization:

> The informal organization may be a positive or negative force. It may be useful in the introduction of change in the formal pattern of operation. The so-called grapevine may help speed the interpretation as well as the dissemination of essential professional information. It may serve as a means of disseminating feelings or information of a very sensitive nature that would be difficult or even somewhat embarrassing to present through formal communication channels.
>
> On the other hand, informal groupings can generate morale problems when competing influence groups degenerate into warring cliques or opposing "invisible governments" that ignore formally recognized channels of decision making. The existence of extensive and competing informal organizations may compound problems for the unsuspecting new chief school executive who is unaware of the informal and undefined roles played by a predecessor. "Knowing the power structure" in a community or school system implies a sensitivity to and knowledge of how best to work with the informal as well as the formal organization. This is why it takes a while longer for a stranger to the system to get to"know the ropes." (pp. 39-40)

In order to adapt the structure of the organization to more effectively enhance the management of change, a strategy needs to be in place. A recommended strategy is the normative-reeducative strategy. This strategy is in synchronization with the principles advocated

by Theory Z. Owens (1987) contrasted the traditional bureaucratic orientation with the normative-reeducative approach:

> This orientation (a normative-reeducative strategy) is based more upon an understanding of organizations and people in them that is quite different from the orientation usually held by the empirical-rational or power-coercive views, which are essentially classical or bureaucratic and tend to see the organization as a creation apart from people. . . . Normative-reeducative strategies of change, on the other hand, posit that the norms of the organization's interaction-influence system . . . can be deliberatively shifted to more productive norms by collaborative action of the people who populate the organization. (pp. 217-218)

The leader of the organization may enhance the effectiveness of the organization by becoming more focused on the organization itself. In so doing, the leader should recognize and avoid typically dysfunctional, neurotic styles. Morgan (1989) identified and described these styles:

> 1. Paranoid: Suspiciousness and mistrust of others; hypersensitivity and hyperalertness; readiness to counter perceived threats; overconcern with hidden motives and special meanings; intense attention span; cold, rational, unemotional.
> 2. Compulsive: Perfectionism; preoccupation with trivial details; insistence that others submit to own way of doing things; relationships seen in terms of dominance and submission; lack of spontaneity; inability to relax; meticulousness, dogmatism; obstinacy.
> 3. Dramatic: Self-dramatization, excessive expression of motives; incessant drawing of attention to self; narcisstic preoccupation; a craving for activity and excitement; alternating between idealization and devaluation of others; exploitativeness of others; incapacity for concentration or sharply focused attention.
> 4. Depressive: Feelings of guilt, worthliness, self-reproach, inadequacy; sense of helpfulness and hopelessness-of being at the mercy of events; diminished ability to think clearly; loss of interest and motivation; inability to experience pleasure.
> 5. Schizoid: Detachment, noninvolvement, withdrawnness, sense of estrangement; lack of excitement or enthusiasm; indifference to praise or criticism; lack of interest in present or future; appearance cold or unemotional. (p. 235)

Emerging from the previously referenced research is a complex picture of the importance of the leader of the organization recognizing and adapting the structure of the organization to meet the goals of the organization. The effective leader will distinguish between the

bureaucratic theory of orientation and the human relations theory in order to create an environment where the potential for effective change and improvement is enhanced. The relationship of the structural environment to effective change management was emphasized by Lawrence and Lorsch (1967):

> Various research studies on effecting desired behavior changes in organizations have emphasized the importance of using both structural modification and education. The educational approach gives people a chance to become familiar with the proposed change, to comprehend the reasons behind it, possibly to contribute to its design, and to test out behaving in new and different ways. The structural approach sets up mechanisms that serve to reward the desired behavior and punish conduct that is no longer approved. (p. 232)

The role of the formal and informal organization was stressed. The research suggests that the effective leader will utilize both parts of the organization and incorporate the human relations orientation theory to best achieve the goals of the organization.

Just as the captain of a ship has to analyze the organizational structure that is present and select and modify the structure to best achieve the mission of the fleet, so does the educational leader. The suggested key to effectiveness is based upon a contingency analysis and application. In a particular situation, the best structure may be the classical or bureaucratic structure. In a different situation, the best structure may be the human relations oriented structure. Greiner and Metzger (1983) explained:

> Numerous research studies have shown that a client's technology and external environment makes a serious difference in choice of organization structure. Those clients with a complex technology and a rapidly changing environment require a human relations structure built around teams, delegation, and participation. On the other hand, clients with a relatively simple technology and stable marketplace can be managed through a hierarchial structure. (p. 191)

In order for a leader to alter the structure, a specific strategy is suggested. The suggested strategy is the normative-educative strategy that is designed to enhance effective change implementation by utilizing a human relations theory orientation.

THE MODEL

School leaders are confronted with reports of dissatisfaction. Although the reports cited differ with reference to the particular emphasis of their concerns, dissatisfaction is a common concern. This dissatisfaction has developed in part as a result of the inability of school leaders to manage change effectively.

The concept of managing change effectively is a complex procedure. The number of components that impact the management of change are of significant number and it was beyond the scope of this research to identify and analyze each component. Those components that had been mentioned as being especially troublesome in managing change were identified and constitutes the focus of the study. The identified components were: a) leadership, b) motivation, c) power and politics, d) staff development, and e) organizational structure.

The conceptual model and its components were not presented as theory, nor were hypotheses developed. The components were presented, in model form, as being interrelated.

In order to provide a model that interrelates the identified components, it was necessary to define and review systems theory. Hoy and Henderson (1983) defined open systems as having adaptable and permeable boundaries which incorporate feedback systems to provide for continuous looping of information both to and from external and internal sources.

General systems theory first emerged in 1949 and was intended to integrate all of the social, biological, and physical sciences that apply to structure and process at any level. Royce (1972) justified the use of this theory:

> The big contribution that this theory makes is it brings order out of chaos; it provides meaning where it had previously not existed. Note, however, that this orderliness can not be provided unless the previously unrelated mass of facts has first been funnelled through the cortex of some thinking scientist . . . empiricism without

> conscious attempts of conceptualizing and showing logical relationships does not lead us automatically to theoretical unification. (p. 404)

Using systems thought, the model is an attempt to apply an open-systems concept for integrating the selected components and showing their relationship to managing change. It has already been noted that general systems theory has its origins in the biological sciences. What does cell biology have to say about the interrelationships among the five identified inhibitors? Selected components of the cell provide specific functions that enable the cell to avoid entropy. Raven and Johnson (1991) identified these components as the nucleus, cytoplasm, cell wall, endoplasmic reticulum, and cell membrane. Definitions of these terms are provided as they relate to the overall function of the cell:

> 1. Nucleus: The repository of the genetic information that directs all activities of a living cell.
> 2. Cytoplasm: The part of the cell that carries out its everyday activities of growth; the gel that holds the cell together.
> 3. Cell wall: The outer layer of the cell.
> 4. Endoplasmic reticulum: The network of internal membranes that enables the cell to carry out particular functions, linking the nucleus and the outside environment.
> 5. Cell membrane: The part of the cell that controls the interactions of the cell with its environment. (pp. 83-94)

Each of the selected parts of the cell interrelate to enable the cell to function, grow, survive and change.

The inhibitors of change selected for this study also interrelate to enable the organization to function, grow, survive, and change. The function of the nucleus of the change process is provided by the leader as effective leadership techniques are applied. Motivation serves a comparable function to cytoplasm in that motivation is the gel that provides for the growth of the organization. The cell wall is influenced by the outside environment and reacts in a manner similar to an organization reacting to the application of power and politics. The part of the cell

that provides communication to the nucleus is the endoplasmic reticulum. This is the vehicle by which the cell stays in contact with the environment and is able to react to the environment. Staff development provides this function in the change management process to enable the leader to keep the change process on target. Finally, the cell membrane controls the interaction of the cell with its environment just as the organizational structure controls the interaction of the organization with its environment.

The systems model utilized evolved through a review of the literature, a synthesis of the salient components, and deductive thought processes involving both insight and assumption. Glaser and Strauss (1967) defended the use of deductive reasoning and insight as vital to developmental research:

> The route sources of all significant theorizing are the sensitive insights of the observer himself . . . . They can be derived by theory or occur without theory. . . . The first corollary is that the researcher can get - and cultivate - crucial insight not only during his research (and from his research) but from his own personal experiences prior to it or outside it. (pp. 251-252)

Assumptions and insights of the writer were an integral part of the research process. Saunders (1966) validated the use of assumptions in developmental process:

> Theoretical assumptions are based on known principles, but they are not confined to those principles. It is through the use of theoretical assumptions that we are able to speculate, to establish guides of action and to give the reasons for our actions. Theoretical assumptions enable us to explain the "why" of our actions and behavior. (p. 8)

In applying the concepts of systems theory to the managing of change, it should be understood that change management is not a process that occurs in isolation. Miller (1978) connected the elements of the educational community that impact upon the process of change management. An educational system consists of individual schools and school corporations. An

educational subsystem consists of students, teachers, and curricula. An educational suprasystem includes the local community within which the system and subsystem exists. In addition there are other systems that impact upon change in the educational environment. Among these are the state legislature, the state board of education, the local and state court system, the federal court system, and the United States Congress.

Open systems theory indicates that in order to avoid entropy, communication among the suprasystem and the subsytems should be maintained. In order to manage change effectively, a communication system should be in place that includes input and feedback from the various systems that effect the organization.

The accomplishment of managing change effectively is, in part, dependent upon an understanding and utilization of the selected components identified for this research project. Leadership has been selected as a critical component through which change management can occur. The ability of the leader to adjust his approach based upon the situations confronted was identified as crucial to the process. Tannebaum and Schmidt (1973) concluded that a successful leader:

> . . . is one who maintains a high batting average in accurately assessing the forces that determine what is most appropriate behavior at any given time should be and in actually being able to behave accordingly. (p. 10)

The proper course of action will emerge dependent upon the leader's experience and knowledge of the goals of the organization, task to be accomplished, technology available, internal and external environment, and the characteristics of the organization. The concept of framing as an interpretation of contingency leadership provides a practical and useful mechanism that leaders that can use to adapt their leadership style to managing change in organizations.

Bolman and Deal (1984) identified the frames through which the effective leader can view the organization as the structural frame, human resources frame, political frame, and the symbolic frame. The centrality of leadership is implied in the theory of contingency leadership and is reflected in the graphic model as indicated in Figure 1. Bolman and Deal (1984) emphasized the importance of the leader in managing the change process:

> As in the past, the form and function of human organization will struggle to keep up, but they will lag well beyond the other changes. And unless leaders (or leading managers) arise to help us close the gap, to create complex organizations to equal complex technologies, productivity and morale will sag. (p. 295)

The managing of change effectively will be determined, in part, by the manner in which the leader of the organization implements his/her knowledge of individual motivation, power and politics in the community, staff development opportunities, and the structure of the organization. An environment conducive to managing change effectively is enhanced in an organization in which the leader applies the appropriate techniques of motivation with the members of the organization. The research of Barnard, Herzberg, and Maslow provide a foundation for the leader to consider in meeting both the needs of the individual and meeting the goals of the organization. McGregor's Theory X and Theory Y lead to the development of Theory Z by Ouchi (1981). Theory Z is a practical concept that enables the leader to adjust motivational techniques as the situation and the individual needs change.

The importance of the leader understanding the power and political structure in the community and the organization cannot be understated. Drucker (1980) offered advice to leaders that suggested that the leaders confront the political realities, identify the power brokers, and conduct meaningful discussions with them. The effective implementation of change is dependent upon the acceptance of the proposed change by the formal and informal power structures within

the organization and the community. The effective leader should become adept at identifying and maneuvering the power structures and political entities to meet the goals of the organization. The effective leader should become involved in the political process.

The impact of staff development programs on the ability of the leader to manage change has been noted. Goodlad (1979) stressed this relationship when he wrote that the superintendent of healthy schools recognizes the school unit as the key unit for change and improvement. The importance of staff development and the leadership required to enhance effective change management was emphasized by Fullan (1982):

> Establishing better professional development programs is not only a means to change but also an innovation itself. . . . Increasing the resources for and emphasis on staff development, establishing more effective programs, and integrating continual development into the regular work of school personnel are goals to which all educational agencies should be committed; for sustained improvement in schools will not occur without changes in the quality of learning experiences on the part of those that run the schools. (p. 287)

Effective change management is better implemented at the corporation level by the development of an organizational structure that incorporates the human relations theory oriented structure rather than a bureaucratic structure. The importance of the leader adjusting the structure to meet the determined goals of the organization and the effect of that structure on managing change effectively was clarified by Lawrence and Lorsch (1967):

> Various research studies on effecting desired behavior changes in organizations have emphasized the importance of using both structural modification and education. The educational approach gives people a chance to become familiar with the proposed change, to comprehend the reasons behind it, possibly to contribute to its design, and to test out behaving in new and different ways. The structural approach sets up mechanisms that serve to reward the desired behavior and punish conduct that is no longer desired. (p. 232)

A structure should be established that provides a participative environment that includes both the formal and informal organizations that are located within and without the organization. The suggested approach to effectiveness is based upon a contingency analysis and application that is coordinated with a specific strategy. The recommended strategy is the normative-reeducative strategy that is designed to enhance effective change management by utilizing a human relations theory orientation.

In order to manage change effectively, the leader of the organization should consider the selected components as they impact upon the change process individually. In addition, the components do not exist in isolation and the interrelationships among them impact upon the overall success of the change strategy.

The model (Figure 1) is an attempt to graphically illustrate an open-systems concept for integrating the components and showing their relationship to assisting educational leaders manage change. The central component in the model is leadership and is critical to the utilization of the other components and their adaptability to successfully manage the change process. Although leadership is identified as the crucial component, the other components have a definite role to play in the change process. The absence of any of the components would impede the ability of the leader to develop an effective procedure to manage change effectively. The similarities between the leader of the organization and the captain of a fleet of ships have been used in this study to illustrate the complexities of leadership that are encountered. Vision, interpretation, and judgement are required in order for the leader or captain to keep the organization on course to meet the established goals.

The model represents a snapshot that a leader might see. The captain must constantly check the horizon to seek reference points and adjust accordingly. Early warning signs become evident and should be considered as potential danger points. The signals are reflected on the radar screen as the captain sweeps the area for the necessary signals in order to successfully plot the proper course of action to avoid danger and to keep the ship on course, or if necessary, to adjust the course, to meet the goals of the mission. As the radar screen constantly sweeps the area, the signals become more or less critical. The signals are constantly changing. The captain interprets each signal and makes a determination as to the importance of each indicator on the screen. The basis of the captain's determination for action, or lack of action, is the environment and experiences through which the captain views the indicators on the screen. The screens are going to be interpreted differently according to the individual that is viewing the screen. The sweeping of the area is going to be continuous and the changes encountered will be on-going. In essence, the captain is going to assess the magnitude and the importance of the indicators according to the frame that is being utilized at that time. The frame will be shaped by the vision of the leader and the knowledge that the captain has of the ability of the organization to adjust to the situation.

The leader of the organization also is confronted with a constantly changing environment. The nature of these changes necessitates that the leader should be sweeping the horizon to identify the danger areas as he/she proceeds to implement a process to manage the impending changes. Essentially, the leader is attempting to identify the most serious threat to the organization at a particular time. As the leader interprets the size of the "blip," he frames and re-frames the problem in accordance with his experience and knowledge of the organization.

If conditions warrant, a decision is made to confront the problem and a strategy is implemented to enable the organization to manage the change that has occurred.

The model indicates that there are five areas that should be considered as the process of managing change is considered. The components are leadership, motivation, power and politics, staff development, and organizational structure. The model represents the symbolic picture that the leader of the organization faces as the organization is confronted with the necessity of managing the change process. The impetus for change is thrust upon the organization and action by the leader is required.

The leader views the impending change through a prism as depicted by Bolman and Deal (1984) and frames the possible responses based upon multiple vantage points that have been developed by experience, knowledge, and insight:

> Managers in all organizations - large or small, public or private can increase their effectiveness and their freedom through the use of multiple vantage points. To be locked in a single path is likely to produce error and self-imprisonment. We believe that managers who understand their own frame - and who can adeptly rely on more than one limited perspective - are better equipped to understand and manage the complex everyday world of organizations. (p. 4)

As a method of operationalizing the utilization of the model, the following example is provided. An educational leader is analyzing the environment in his corporation. He surveys the corporation through the analogy of the radar screen. The concept of leadership is accepted as the critical component through which the other components are influenced and the process of change is more effectively managed.

The leader determines that the component most in need of attention is in the area of staff development. The leader is aware that each of the components - leadership, motivation, power and politics, staff development, and organizational structure - is going to affect the proposed

challenge that is facing the leader and that the course of action selected could necessitate an adjustment in the corporation's approach in each of the areas.

A plan to improve the staff development program is being considered and leadership is provided to enhance the possibility of success. The concepts of adult learning characteristics developed by Wood and Thompson (1980) are reviewed and interpreted in the context of the knowledge of the organization that is available. Effective staff development factors compiled by Joyce and Showers (1987) are considered. Realities exist in the organizational structure that may have a negative impact upon the ultimate success of the proposed program and they are analyzed.

The leader then proposes to consider the importance of staff characteristics as the plan is developing. Motivation of the staff is of vital concern to the leader. Joyce, Peck, and Brown (1981) provided suggestions to enhance the receptivity of the staff to the program. The various power groups are to be considered and utilized in the formation of the staff development program. As Drucker (1980) suggested, the effective leader has to be an integrator in the political process and has to take control to positively influence the outcome. The formal and informal power groups, both inside and outside of the organization, have to be recognized and utilized. The concept of empowerment as defined by Wellins, Byham, and Wilson (1981) is a useful tool to enable the leader to use the staff to assist in meeting the goals of the organization. Finally, the leader needs to consider the structure of the organization as it impacts upon the developing plan. The management style in place will effect the success of the program. Likert's (1967) management system provides a style that can enhance success. System 4 has three key elements that are significant in the leadership provided: the manager's use of the principle of

supportive relationships, the use of group decision making in an overlapping group structure, and the manager's high performance goals for the organization. In essence, a human resources organizational structure will increase the probability that the staff development program will be effective.

As the leader is analyzing, considering, debating, adjusting, discussing and preparing, to implement the staff development plan, he is continuing to monitor the radar screen that provides him an insight to the organization. The possibility that any of the other components may become the most critical factor to be dealt with at any given time is continuous. If this occurs, the leader must rely on his frame of reference as indicated by Bolman and Deal (1984). The vision, experience, and insight of the leader should emerge to enable the organization to meet the challenges of managing change more effectively.

The model conceptualizes the interrelationships between the selected components of leadership, motivation, power and politics, staff development, and organizational structure as they impact upon the management of change. It is recognized that other inhibitors of managing the change process could be identified and the model could accommodate such additions.

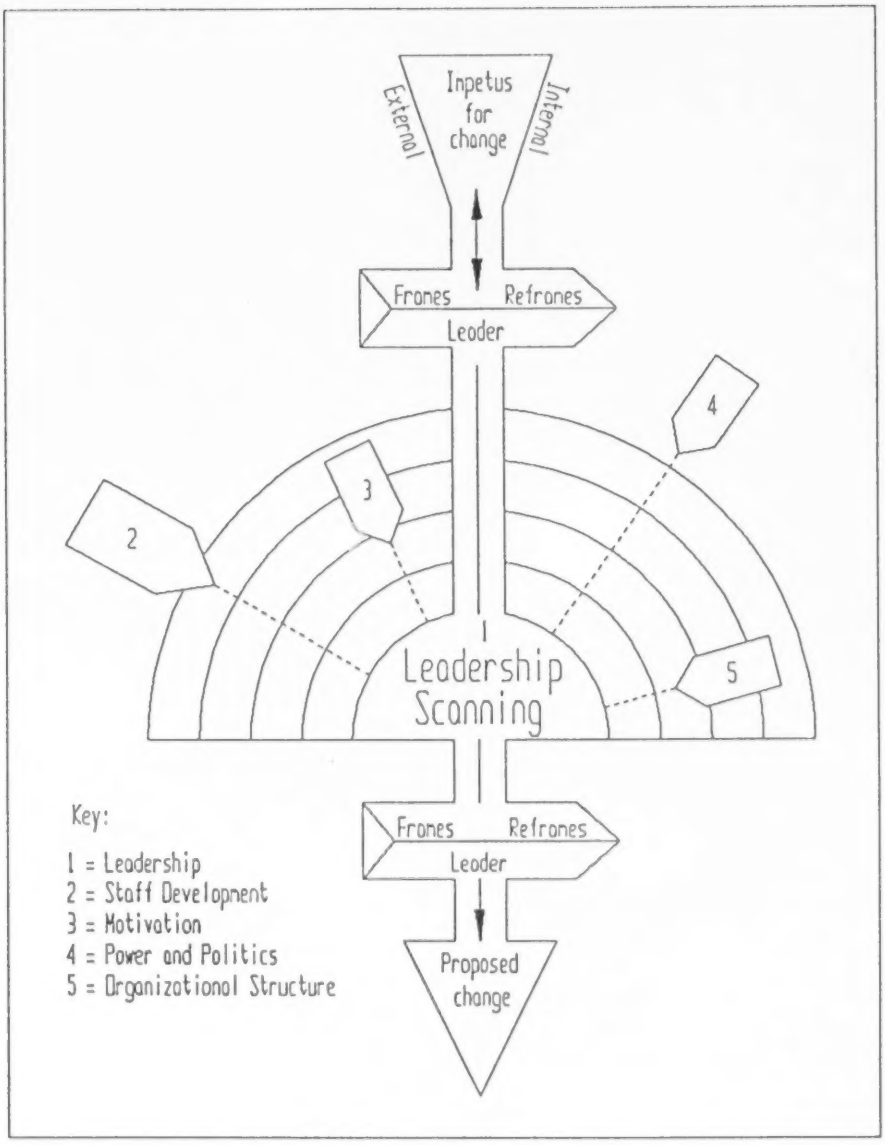

Figure 1. A Conceptual Model To Assist Educational Leaders Manage Change

SUMMARY AND CONCLUDING STATEMENTS

SUMMARY

The purpose of this study was to develop a conceptual model to assist educational leaders manage change. The model was developed as a result of pursuing answers to the following research questions:

1. Is there a need for assistance in managing change effectively?
2. Will major components that inhibit organizational change be revealed by a review of the literature?
3. Are the most salient features of the components identified?
4. Can the major components be interrelated in a way that will assist in managing change effectively?

The methodology selected for this research study was a research format identified as developmental research. Developmental research is conceptual in nature. Therefore, it was determined to concentrate on pre-theory development instead of hypothesis testing. The focus of the study was to construct a model which demonstrated the interrelationships of the selected components. This was accomplished through a review of the literature of model building and theory development.

Assumptions and insights of the author regarding the interrelationships of the selected components illustrated in the model were conceptualized as the research progressed. No hypotheses were formulated to be tested and no attempt was made to empirically verify the conceptual model.

A review of the literature was presented in which the components that inhibit effective change management were identified. The identified components were presented as analogy with specific applications not being in the realm of this study.

The review of literature identified characteristics of leadership as the predominant component that impacts upon the successful management of change. The nature of leadership was reviewed and leadership styles were identified as being critical to the effective managing of change. Contingency leadership was identified as being an effective leadership style that enabled leaders to adapt their leadership style to the challenges of managing change in organizations. It was shown that the concept of framing as an interpretation of contingency leadership is a practical and useful mechanism that leaders can use to adapt their leadership style to effectively managing change in organizations.

The review of literature relating to the motivation of the members of the organization revealed that an effective leader of an organization analyzes the members of the organization and selects the most appropriate motivational technique based upon their needs and goals at a given time. In selecting the most appropriate technique, the leader has to consider the goals of the organization, tasks to be accomplished, environment present, technology available, and the characteristics of the people involved. The research suggested that an environment conducive to managing change successfully is enhanced in an organization in which the leader applies the most appropriate techniques of motivation with the staff.

Power and politics was the third component identified. Research indicated that the successful organization will have a leader who is cognizant of the power structure and political environment that exists in and around the organization. The nature of formal and informal

power structures in organizations were reviewed. The sources of community power structures were identified and the importance of the leader utilizing the power structure to enhance achieving the goals of the organization was stressed. The contingency theory approach was suggested as the appropriate concept to implement in analyzing and reacting to the power structure and political entities in the organization.

Staff development was identified as being an important component in the process of managing change effectively. Leaders of educational organizations are confronted with realities that affect the quality of staff development programs. Guidelines were presented to assist leaders in adjusting to these realities. The impact of staff development programs on the ability of the leader to manage change effectively was suggested by the research.

The fifth component identified for this study was organizational structure. Bureaucratic organization theory and human resources theory were presented with the human resources theory being advocated as the more appropriate theory to utilize in developing an organization that is conducive to managing change effectively. The effective leader will also utilize both the formal and informal structure to achieve the goals of the organization. Normative-reeducative strategy was suggested as a strategy to enhance effective change management.

A conceptual model was presented for assisting educational leaders manage change. The model was presented in narrative and graphic form. The interrelatedness of the identified components was explained. The model was intended to serve as a procedural guide to assist educational leaders translate theory into reality.

CONCLUDING STATEMENTS

Conclusions based upon a review of the literature and findings developed in this study are:

1. Educational leaders are confronted with dissatisfaction.
2. Dissatisfaction, as reflected in the reform reports of the 1980's, has resulted in part as a result of the inability of educational leaders to manage change effectively.
3. Research indicates that conceptual model-building is an accepted process for translating theory into reality. Such a method uses a type of research known as developmental research.
4. The major inhibitors of managing change effectively were identified as leadership, motivation, power and politics, staff development, and organizational development.
5. General systems theory and terminology were used to explain the interrelationships of the identified components. Leadership was shown to be the critical component and is essential to the effective management of change.
6. Leadership, effectively applied to the components of motivation, power and politics, staff development, and organizational structure, enhances the opportunity for the successful management of change in a formal organization.
7. Human motivation was recognized as an important component in the success of an organization in meeting its established goals. Strategies that do not consider

the needs of the members of the organization as well as the goals of the organization will not be successful in managing change.

8. An approach based upon contingency theory was identified as the mechanism for enhancing the opportunity for leaders to effectively manage change in the organization.

9. In order to avoid entropy in an organization, a continuous system of communication and feedback is essential between the members of an organization, the surrounding environment, and the leaders that are implementing change strategies.

10. The identified components do not work in isolation in the change implementation process, but must be interrelated if educational leaders are to effectively manage change.

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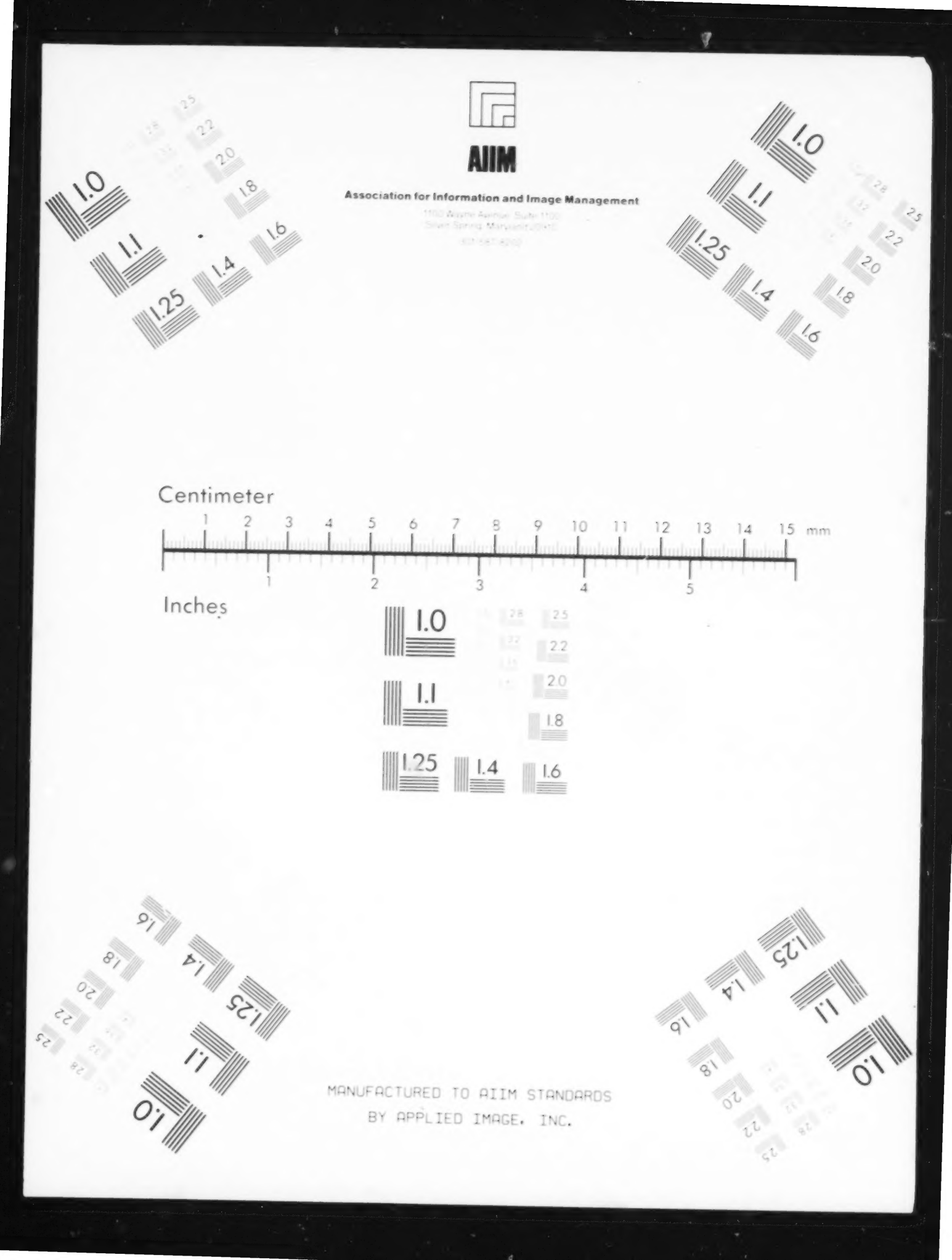
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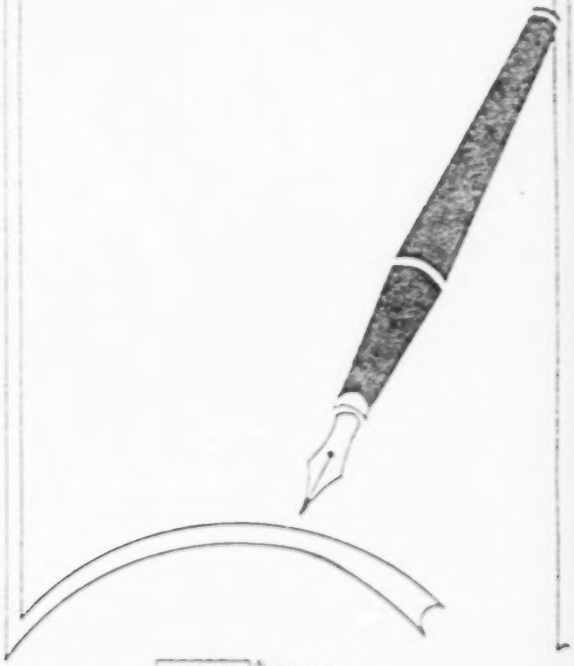

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